PETER COLLINS
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ENGLISH GRAMMAR

AN INTRODUCTION

3rd Edition

English Grammar

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Third edition

PETER COLLINS AND CARMELLA HOLLO

Contents

Preface

This book is intended as an introduction to English grammar for secondary and tertiary students. It is divided into two sections. Part A, Grammatical Description, begins by locating the study of grammar within its broader context and explaining general aspects of the approach adopted in this book, and then presents in step-by-step fashion the various categories that are used in analysing the grammatical structure of sentences. Part B, Looking at Language in Context, applies the methods developed in Part A to the analysis of texts of various kinds, found in the Appendices.

The aim is not only to equip students with a set of tools for critically analysing texts, but also to make students aware that there are often different ways of analysing a set of grammatical data. In various places throughout the book, we shall pause to draw attention to, and argue against, analyses that have been adopted by a number of grammarians, but which we have decided not to follow.

The type of grammatical analysis used is influenced strongly by the structuralist model of grammar, developed by Rodney Huddleston and his colleagues (Huddleston 1984, 1988; Huddleston and Pullum 2002, 2006), but it also draws insights from the work of Randolph Quirk and associates (Quirk et al. 1972, 1985; Leech et al. 1982; Greenbaum and Quirk 1990). While the approach we adopt builds on the work of contemporary linguists, it nevertheless retains the familiar terms and categories of traditional grammar wherever possible. Recognising that there will be a number of users of this book who will have some knowledge of traditional grammar, we shall draw attention to aspects of our description that differ significantly from those found there.

Exercises are presented at the end of each chapter, and answers are provided at the end of the book. Following the answers you will find a Glossary and a list of books and articles for further reading.

In this third edition, we have elaborated a number of the grammatical explanations in order to make them more accessible. These include the relationship between subject and topic, relator-axis constructions, basic and non-basic clauses, the copula, peripheral dependents, genitive case,

the distinction between pronouns and determiners, tensed verb forms, adjective comparison, relative clauses, and active and passive clauses. We have also included a considerable amount of information on the inflectional morphology of nouns and verbs.

You will find some new entries in Some Useful References, and a large number of new entries in the Glossary. A number of new exercises have also been included, focusing mainly on the communicative role of grammar and based on the texts in the Appendices. While we have not added any new texts to this edition, we have expanded the discussion of most of the texts both in the relevant chapters and also as guidelines and hints in Answers to Exercises.

Acknowledgements

Symbols and Conventions

Many of the symbols and notational conventions are as used by Huddleston, *English Grammar: An Outline* (1988), and Leech et al., *English Grammar for Today: A New Introduction* (1982).

Bold is used for technical terms when they are first discussed; their definitions are provided in the Glossary

Italics are used for citing words, sentences and other expressions

( ) parentheses are used to enclose phrases

[ ] square brackets are used to enclose clauses

⌐————⌐ a horizontal line is used to link discontinuous elements (e.g. *Have you been there?*)

< > angle brackets are used to enclose a coordination of elements (e.g. *She ran <down the road and over the bridge>*)

+ a plus symbol is used to represent any coordinator

* an asterisk is used for an ungrammatical expression

? a question mark is used for an expression of questionable grammaticality

Abbreviated labels

Function labels

A   Adjunct
Ax   Axis

C	Complement
Cx	Non-central complement
Dr	Determiner
H	Head
M	Modifier
O	Object
Od	Direct object
Oi	Indirect object
P	Predicator
PC	Predicative complement
PCo	Objective predicative complement
PCs	Subjective predicative complement
PD	Peripheral dependent
Pred	Predicate
Rel	Relator
S	Subject

Class labels

ACl	Adverbial clause
Adj	Adjective
AdjP	Adjective phrase
Adv	Adverb
AdvP	Adverb phrase
Aux	Auxiliary verb
CCl	Comparative clause
Cl	Clause
Clen	Past-participial clause
Cli	Infinitival clause
Cling	Present-participial clause
Coord	Coordinator
Dv	Determinative
DvP	Determinative phrase
GP	Genitive phrase
MCl	Main clause
Mv	Main verb
N	Noun
NCl	Noun clause
NP	Noun phrase
Pn	Pronoun

PP   Prepositional phrase
PredP   Predicate phrase
Prep   Preposition
RCl   Relative clause
SCl   Subordinate clause
Se   Sentence
Subord   Subordinator
Ved   Past tense form of verb
Ven   Past-participial form of verb
Vi   Infinitival (base) form of verb
Ving   Present-participial form of verb
Vo   General 'other' present form of verb
VP   Verb phrase
Vs   Third person singular present tense form of verb

Where **examples** are cited from the texts in the Appendices, this is indicated by means of a capital letter in square brackets representing the Appendix concerned.

Part A

Grammatical Description

1 Introduction

1.1 Grammar and the Description of Language

What is grammar and where does it fit into the description of a language? According to most contemporary linguists, we can divide the description of any language into three major areas: grammar (comprising two subfields, morphology and syntax), phonology and lexicon. For some linguists, grammar is understood to encompass all three areas, a conceptualisation that we do not endorse in this book:

Grammar:
Morphology deals with the form of words
Syntax deals with the arrangement of words to form sentences

Phonology deals with the sound system (involving sounds, stress and intonation)

Lexicon provides information about the individual items of the vocabulary (words, and idioms such as *kick the bucket*).

In each of the three major areas we may distinguish between the study of form and the study of meanings – the term **semantics** often being applied to the latter, the study of linguistic meanings. Thus, for example, the study of grammatical form will deal with grammatical categories such as past tense and interrogative clause, while the study of grammatical meaning will be concerned with the meanings associated with these categories (past time, question and so on).

Traditional grammarians have tended to assume that the relationship between form and meaning is straightforward. However, in many cases it is not. For example, traditional grammars commonly describe the past tense simply as a form of the verb that expresses the meaning 'past time'. Such a claim accurately captures the meaning of the past tense

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verb form *decided* (which refers to the making of a decision at some time in the past) in the following example (where [F] refers to the text in Appendix F):

> One day we **decided** to play Purple Haze [F]

However, the relationship between form and meaning would be less direct if we changed the clause to:

> It would be interesting if we **decided** to play Purple Haze

Here, the past tense form *decided* indicates a time that is not in the past, but a possibility in the future ('… if we were to make a decision at some time in the future').

As a second example, consider the familiar traditional definition of interrogative clauses as clauses that are used to ask questions. This definition is valid for a clause such as:

> How do your instruments stand up? [F]

Here, the speaker uses an interrogative clause, with *how* and the auxiliary verb *do* preceding the subject *your instruments*, to seek information about the addressees' musical instruments. However, in the following examples, while the interrogative clause form is similar, the meanings expressed are quite different. In the first the speaker is not asking a question but making a complaint, and in the second the speaker is making an offer:

> How can we rely on him!
> How would you like another sandwich?

In the next section we shall explore further the complexity of the relationship between form and meaning as we begin to explain the type of approach adopted in the present grammar.

1.2 Defining Grammatical Categories

One of the reasons why modern grammarians have reacted against traditional grammar is that traditional grammarians and writers of school grammars commonly give priority to considerations of meaning

rather than form when defining grammatical categories. The problem with this is that when you attempt to use meaning-based definitions (sometimes called 'notional' definitions) to identify the items associated with a particular category, you will often obtain results that are misleading, or even plainly wrong.

Consider as an example the grammatical category of 'subject'. There are, in fact, two types of meaning-based definition that one finds applied to the subject in traditional grammar. One is that the subject represents the 'doer' or 'actor', and the other is that the subject represents the 'topic' or 'what the sentence is about'. There are problems with both definitions. Consider:

> *But after a time the man grew some vegetables*
> *But after a time the man grew homesick* [G]

In both sentences we would presumably want to analyse *the man* as the subject, but it is only in the first sentence that the 'doer' definition can be applied, where the man is understood to have performed an action. The second sentence does not express an activity performed by the man, but rather something that happens to him. Consider another pair of sentences from the perspective of the topic-based definition of the subject:

> *The rain was pouring down*
> *It was raining*

Here, we would intuitively want to treat *the rain* and *it* respectively as subjects. However, while we may regard *the rain* as the topic of the first sentence, what it is about, it would be odd to say that the second sentence is about *it*, since *it* is here merely a grammatical item that does not convey any meaning. Presumably, a sentence can only 'be about' something that has an existence, real or imaginary. One test for such topichood is the possibility of formulating an '*as for* x' phrase with the putative subject as x. Not surprisingly, we can say *As for the rain, it was pouring down*, but not **As for it, it was pouring down* (where the symbol * means 'ungrammatical').

In order to reliably identify the subject of a sentence, we must invoke formal grammatical properties rather than meaning. For instance, one important formal property of subjects is their role in the formation of question tags: the subject of a sentence in English is the element that is

either 'pro-formed', that is, replaced by a pronoun, as in the first example below, or copied in a question tag, as in the second example:

The man grew homesick, didn't he?
It was raining, wasn't it?

Notice that this formal criterion clearly reveals the weakness of the traditional definition in some cases. Consider:

Tom was telephoned by Mary

The traditional 'doer' definition of the subject as actor would suggest, counterintuitively, that *Mary* is the subject. However, we can confirm that *Mary* is not, in fact, the subject, but rather it is *Tom* (even though Tom is not the performer of the action) by applying the 'tag test' (whereby the male Tom is the only possible person to whom *he* can refer):

Tom was telephoned by Mary, wasn't he?

As a second illustration of the inadequacy of notional definitions, consider the familiar traditional treatment of nouns in English. Traditional grammars generally define a noun as 'the name of a person, place or thing'. This definition in terms of semantic categories is unproblematical when applied to words denoting concrete objects such as *tree*, *ocean* and *bicycle*. Unfortunately, however, there are many words that we readily recognise as nouns, but which are not covered by the traditional notional definition, including such intangibles as *stupidity*, *rejection* and *deafness*. Some may seek to argue that the latter would be covered by the definition if we simply allowed the meaning of the word 'thing' to be extended so that it applied not simply to concrete objects, but also to abstractions. But such an interpretation of the word 'thing' would surely make the traditional definition of nouns unacceptably circular. For instance, the word *stupidity*, which refers to something intangible, a property or characteristic, would legitimately be classified as a noun, but why then should we not apply the same criterion and treat the adjective *stupid* as a noun? Why should we accept *suggestion* but not the verb *suggest*? Why accept *deafness* but not the adjective *deaf*? The problem would be that in order to know whether or not a word fitted the traditional definition, we would need to know in advance whether or not that word was a noun.

As in the case of the subject, so with nouns, it seems clear that we need to appeal to formal grammatical criteria in order to provide an adequate definition. For instance, nouns are distinctive in the types of dependent expressions they may take, such as *such* and *his* (compare *such stupidity* and *such stupid; *his deafness* and *his deaf), and in their capacity to function as the subject of the clause (compare *Stupidity is unforgivable* and **Stupid is unforgivable*). For more information on the definition of nouns, see Chapter 3.

1.3 Grammatical Categories and 'Prototypes'

We have demonstrated that semantically based definitions are inadequate, and that if we are to correctly identify the parts of speech, we shall need to consider how they differ in terms of their formal properties rather than in terms of their meanings. Does this mean that the traditional definitions have no role to play in a grammar? No, not at all. The traditional meaning-based definitions do have an important role to play, in so far as they may be applied to the **prototypical** members of a category – those that share a common core of mutual properties.

Thus, the most typical nouns of English are precisely those that refer to people and things. For example, *car*, *tree* and *girl* are prototypical nouns, whereas the abstract noun *deafness* is not (notice that it differs from prototypical nouns in not having a plural form: *deafnesses is ungrammatical). Prototypical nouns are the most frequently occurring in the language. They include the first nouns to be learnt by most children, and they share the same properties that are relevant to defining the category of nouns across the world's languages.

Similarly, the most typical subjects of English are precisely those that represent the actor and topic, and, not surprisingly, these notions also tend to be associated with the subject in those languages of the world that have such a category. Those subjects in English that are associated with only one of the two notions of actor or topic (or with neither, such as the *it* in *It is raining*) are more peripheral members of the category. For more information on the definition of subjects, see Section 2.6.

Similarly, prototypical interrogative clauses are those used to ask questions, and past tense verb forms are those used to express past time.

We shall thus conceive of grammatical categories as indeterminate or 'fuzzy'. Each category comprises a central core of instances, which share a number of grammatical properties and can generally be identified via

a traditional meaning-based definition, and shades off into non-central members that exhibit some, but not all of the properties.

1.4   Morphology: Words and Lexemes

In this section we shall attempt some clarification of what is meant by the term 'word', and introduce some basic concepts of morphology, the study of the forms of words. Consider the following:

> *If he seeks to* **qualify***, and* **qualifies** *fairly, then you must accept him as a legitimate* **qualifier**

The only difference between *qualify* and *qualifies* is that *qualifies* has a suffix (*-es*) not present in *qualify*. Similarly, the only difference between *qualify* and *qualifier* is that *qualifier* has a suffix (*-er*) not present in *qualify*. And yet the two pairs are not quite the same. Whereas most people would probably regard *qualify* and *qualifies* as in some sense 'forms of the same word', *qualify* and *qualifier* would be regarded by most as different words. This information would be confirmed if we were to consult a dictionary: in most English dictionaries *qualify* and *qualifier* would be assigned to different entries, but not *qualify* and *qualifies*.

It is helpful to have a term other than 'word' to clarify the differences between the two pairs: we shall say that *qualify* and *qualifies* are different words, but that they are associated with a single **lexeme** (a more abstract unit than a word). By contrast, *qualify* and *qualifier* are associated with different lexemes.

Lexemes are abstract units, but they correspond in form to the most morphologically unmarked forms, the base forms of words. In the case of verbs this is the infinitive form (e.g. *be*, but not *is*, *am*, *are*, *was*, *were*, *being*, or *been*); for nouns it is the singular form (e.g. *tree*, but not *trees*); for adjectives and adverbs it is the 'absolute' form rather than the 'comparative' or 'superlative' form (e.g. *wide*, but not *wider* or *widest*; *slow*, but not *slower* or *slowest*). For more information on the morphological properties of nouns see Chapter 3, for verbs see Chapter 4, and for adjectives and adverbs see Chapter 5.

The words associated with a lexeme are said to be grammatically related to each other by means of **inflection**: in this case, *qualify* is the 'infinitive' and *qualifies* (which carries the present tense *-es* inflection) is related to it as a present tense form. The words associated with a lexeme are sometimes said to constitute a 'paradigm'. The paradigm for the verb lexeme *qualify* contains the words *qualify*, *qualifies*, *qualified* and *qualifying*, which are differentiated in terms of such grammatical properties as tense and aspect (see Chapter 4). By contrast, the addition of the suffix *-er* to the verb *qualify* results in the formation of the noun *qualifier*, 'one who qualifies'. As a noun, *qualifier* has a different kind of paradigm, one that contains the words *qualifier*, *qualifiers*, *qualifier's* and *qualifiers'*.

Consider some further examples: the paradigm for the adjective lexeme *slow* contains *slow*, *slower* and *slowest*; that for the noun lexeme *uncle* contains *uncle*, *uncles*, *uncle's* and *uncles'*; that for the demonstrative *this* contains *this* and *these*. The most complex paradigm is that for the verb *be*: it consists not only of the positive forms *be*, *is*, *am*, *are*, *was*, *were*, *been* and *being*, but also the negative forms *isn't*, *aren't*, *wasn't* and *weren't*.

Notice that in treating *isn't*, *aren't*, *wasn't* and *weren't* as single inflectional forms of *be* (compare *don't* as an inflectional form of *do*, *won't* of *will*, and so on), we are interpreting them differently from forms such as *he'll* and *we've*, which behave grammatically as two-word sequences. Whereas the latter can always be replaced by the uncontracted sequences *he* + *will* and *we* + *have*, this is not the case with the negative forms; for instance, *isn't* cannot be replaced by *is not* in *Isn't your sister coming?*

We close this section by noting that there are two main branches of morphology: inflectional morphology and lexical morphology. When, in introducing morphology in the prelude to this chapter, we treated it as a subfield of grammar, we were oversimplifying matters. It is actually only the first branch of morphology, **inflectional morphology**, that falls within the domain of grammar. Inflectional morphology deals with the processes that give rise to inflectional forms, and it interacts with syntax, in so far as it is the rules of syntax that determine whether a lexeme can or must carry a particular inflectional property. Consider the verb form *forgotten* in:

I have forgotten your name

It is a rule of syntax which dictates that the verb following *have* must carry the past participial inflection, while the rules of inflectional morphology determine that the past participle form of *forget* is *forgotten* (see Chapter 4).

Lexical morphology is dealt with in the lexicon, and is thus, strictly speaking, outside the concerns of grammar. It deals with the processes by which lexical items – the basic units of the vocabulary, or 'lexicon' – are derived, such as *qualify* > *qualifier*. These processes include:

- **affixation** – the addition of *prefixes* to a stem, as in ***un**equal*, ***dis**agree* and ***extra**marital*; and of suffixes, as in *equal**ity***, *inform**ant*** and *care**less***

- **compounding** – the adding together of stems, as in *blackberry*, *fireplace* and *postmodern*

- **conversion** – the change of a word from one part of speech to another, as in the conversion of the adjective *even* to the verb *even*, and of the verb *act* to the noun *act*.

1.5   Constituent Structure

Syntax, we have said, is concerned with how words combine to form sentences. Sentences have a hierarchical structure, with the larger units consisting of successively smaller units. Thus, we might analyse the sentence *Some people collect old Australian stamps as a hobby* informally as follows, in the form of what is generally called a 'tree diagram':
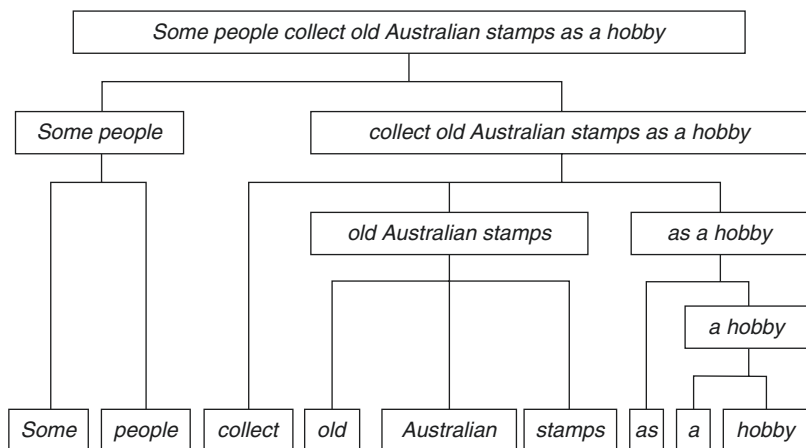
Each unit that is at the end of a line, or 'branch', and thus is part of a higher unit is called a **constituent;** so there are 14 phrase and word constituents: *some people*, *collect old Australian stamps as a hobby*, *old Australian stamps*, *as a hobby*, *a hobby*, *some*, *people*, *collect*, *old*, *Australian*, *stamps*, *as*, *a* and *hobby*. Complementary to the notion of constituent is that of **construction**. For example, *some* and *people* are constituents of the construction *some people*. In the tree diagram above there are six constructions: *some people collect old Australian stamps as a hobby*, *some people*, *collect old Australian stamps as a hobby*, *old Australian stamps*, *as a hobby* and *a hobby*. Thus, constituents make up constructions and, conversely, constructions are made up of constituents. It follows that the topmost unit, the whole sentence, can only be a construction and not a constituent since it is not a part of a higher grammatical unit, and that the bottom-most units can only be constituents since they are not made up of further constituents. *Some people* will be both a constituent and a construction: it is a constituent of the sentence and it is also a construction since it is made up of the constituents *some* and *people.*

One further term that we shall introduce is **immediate constituent**. The immediate constituents of a construction are those that are directly below it in the hierarchy, those that it is firstly – 'immediately' – divided into. For example, *as* and *a hobby* are the immediate constituents of *as a hobby: a* and *hobby* are constituents – but not the immediate constituents – of *as a hobby*; *a* and *hobby* are the immediate constituents of *a hobby*.

There is a good deal of redundancy in the tree diagram above. A more economical way of representing the same constituent structure information is presented below:

Some   people   collect   old   Australian   stamps   as   a   hobby
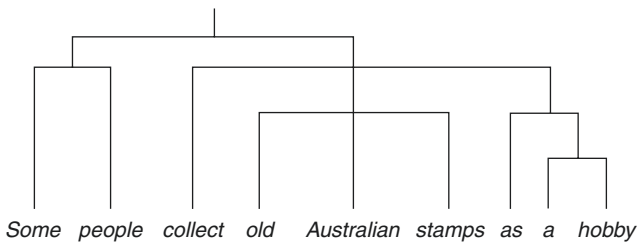
How do we know how to analyse a sentence into its constituents? Ultimately, the answer to this question will depend on the sort of grammatical knowledge about sentence structure that this book seeks to provide you with. At this stage, suffice it to say that there are a couple of rules of thumb that will be of assistance.

- *Substitution* is one such rule of thumb. If a sequence of words can be substituted by a single word, then it can generally be assumed that the sequence is a constituent. For instance, the status of *some people* as a constituent is suggested by the possibility of substituting a single word for it, such as *they* (*They collect old Australian stamps as a hobby*). It is possible to apply a similar test to confirm the status of *collect old Australian stamps as a hobby* as a constituent. Notice, for example, that if someone had queried the proposition, asking *Is it really true that they collect old Australian stamps as a hobby?*, and in reply you sought to affirm it, saying *They do!*, then *do* would be a substitute for the constituent *collect old Australian stamps as a hobby.*
- *Movement* – the possibility of moving a constituent to another position – is a second test for constituency. Thus there is evidence for the status of *old Australian stamps* as a constituent in the fact that it can be moved to another position as in *What they collect is old Australian stamps.* Consider several further examples. We can confirm that *in late July* is a constituent of the sentence *Aunt Gertrude arrived in late July* by noting the possibility of moving it as in *In late July Aunt Gertrude arrived.* Again, we can confirm the status of *the American stock market* as a constituent of *The American stock market is very robust*, by comparing it with *Is the American stock market very robust?*

Below are several further examples of sentences analysed in terms of their constituent structure:

A   friend   from   England   has   told   me   the   news

He   can   walk   from   the   university   to   the   station   in   seven   minutes
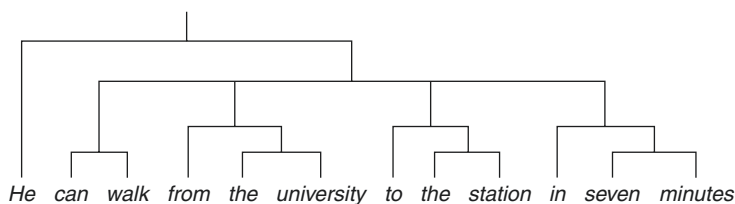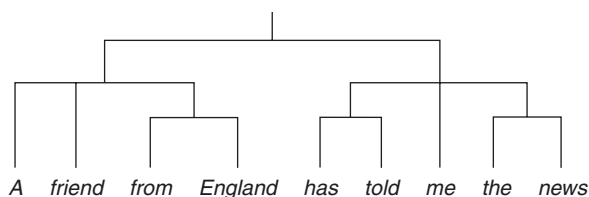
As a final point in this section, it may be noted that the type of constituent structure analyses we have been discussing can sometimes be used to shed light on ambiguous sentences, each different interpretation corresponding to a separate constituent analysis, as in:

They are French history students

This sentence can mean either that 'They are students of French history', as reflected in (a) below, where *students* and *French history* are constituents, or alternatively, 'They are history students of French nationality', as reflected in (b), where *French* and *history students* are constituents.
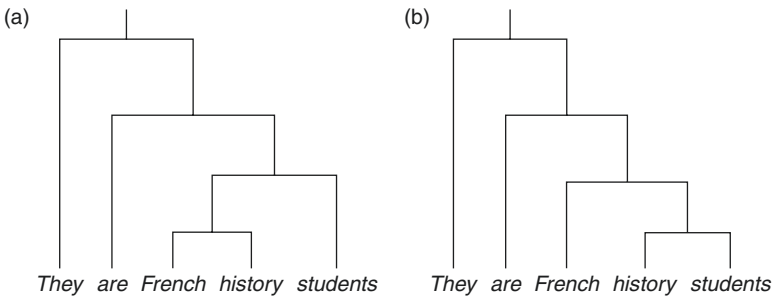
As a second example of an ambiguous sentence, consider the two interpretations of:

We discussed our victory in Italy

This sentence can mean either 'We discussed our victory that took place in Italy', as reflected in (a), where *our victory in Italy* is a single constituent, or 'It was in Italy that we discussed our victory', as reflected in (b), where *our victory* and *in Italy* are separate constituents.
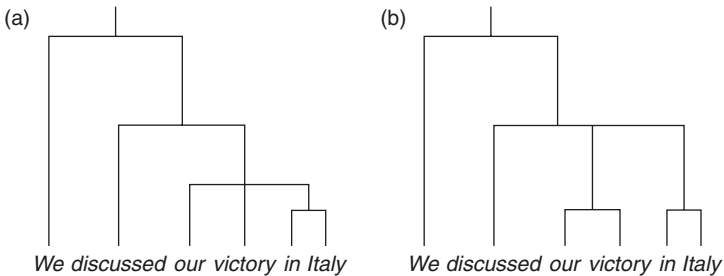
1.6   Classes and Functions

The tree diagrams that we have presented so far identify the syntactic units in a sentence, but they do not supply any descriptions of these units. For each unit, we may assign two types of description, one relating to its **syntactic class**, and the other to its **syntactic function**.

The syntactic class of a unit is determined by the grammatical properties that it shares with other forms, while the syntactic function is the grammatical role of a unit within the construction that contains it. The labelled tree diagram below demonstrates how we can assign a syntactic class and function to every constituent of a sentence, with the function label presented first, followed by the class label, and the two labels separated by a colon. It would be putting the cart before the horse to attempt to explain every label here: this is the task of subsequent chapters. We shall merely make some selective comments.
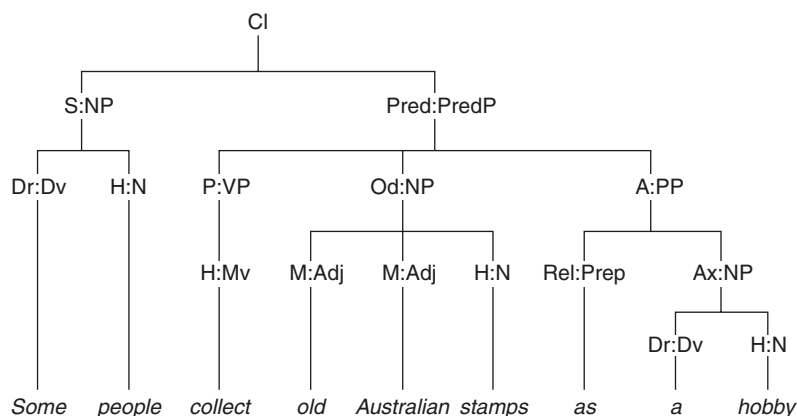
Some people and *old Australian stamps* belong to the class of **noun phrases** (NPs), grammatical units with a noun as the 'head' element (the head of *some people* is the noun *people*, and the head of *old Australian stamps* is the noun *stamps*). Further evidence that *some people* and *old Australian stamps* belong to the NP class is their function within the clause: *some people* is the subject (notice that it can be pro-formed in a tag, as in *Some people collect old Australian stamps as a hobby, don't they?*); *old Australian stamps* is the object (notice that it can be substituted by *them* but not

by *they*, as in *Some people collect them as a hobby,* but not **Some people collect they as a hobby*). In turn, *people* and *stamps* are classed as nouns because of the properties that they share with other members of that class (such as the capacity to express contrasts of number – *person* vs. *people* and *stamp* vs. *stamps* – and to take adjectives as dependents), and because they have the 'head' function within their NPs. Notice that the topmost unit, the clause, has no function assigned to it because it is not a constituent here, not part of any larger grammatical unit.

Note that in order to reduce the amount of 'vertical complexity' in our constituent analyses we will from this point onwards omit the predicate as a constituent. Below is another sentence analysed in this way. Notice that P and A are now immediate constituents of the clause.

```
                            Cl
          ┌──────────────────┼──────────────────┐
        S:NP               P:VP               A:NP
     ┌────┴────┐             │           ┌──────┴──────┐
   Dr:Pn     H:N           H:Mv        M:Adj         H:N
     │         │             │           │             │
     │         │             │           │             │
    His      mother        died         last          year
```
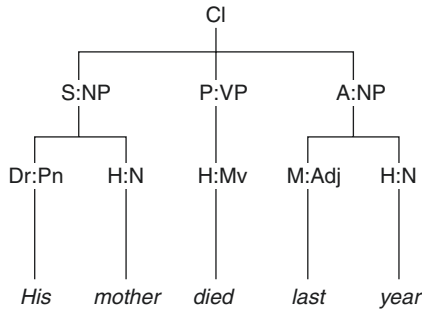
Finally, we note that an alternative method of notation to the tree diagram that we shall sometimes use is '**labelled bracketing**'. While bracketing does not show constituent structure as transparently as do tree diagrams, its 'flatness' gives it an advantage if you are engaged in analysing a succession of sentences in **discourse**. The main features of this method are:

- clauses are enclosed in square brackets [ ]
- phrases are enclosed in round brackets ( )
- function labels are represented as superscripts placed before brackets and individual constituents
- class labels are represented as subscripts placed before brackets and individual constituents.

Here is a labelled bracketing analysis that presents the same information as in the labelled tree diagram above:

S   Dr   H   P   H   Od   M   M   H
[(*Some   people*) (*collect*) (*old   Australian   stamps*)
NP   Dv   N   VP Mv   NP   Adj   Adj   N

A   Rel   Ax Dr   H
   (*as*   (*a   hobby*))]
PP Prep   NP Dv   N

Below is a labelled version of the tree diagram we presented earlier, along with the corresponding version with labelled bracketing; again, we have simplified the analysis slightly by omitting the predicate:
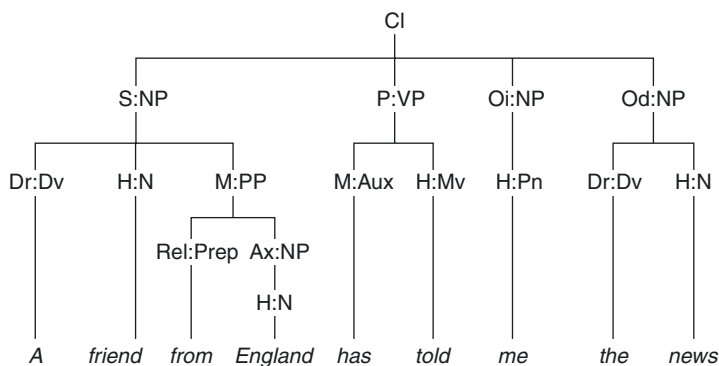
S Dr   H   M Rel   Ax H   P M   H
[(*A   friend* (*from* (*England*)))   (*has   told*)
NP Dv   N   PP Prep   NP N   VP Aux   Mv

Oi H   Od Dr   H
   (*me*) (*the   news*)]
NP Pn   NP Dv   N

1.7   Descriptive and Prescriptive Grammar

A popular view of the role of grammar, one which is reflected in many school grammars, is that it should present a set of rules for speaking and writing 'correctly'. This approach may be described as **prescriptive**; that is, concerned with prescribing the ways in which – according to the grammarian – language should be used. Modern linguistics is, by contrast, **descriptive** in orientation: its concern is with describing how language *is* used rather than prescribing how it *should* be used. Thus, for

example, we may find a 'rule' in a traditional prescriptive grammar of the type: 'A sentence should not end with a preposition'; according to which, sentence (1) below would be considered 'incorrect', the 'correct' version being (2):

1. *This is the house which he lives in*
2. *This is the house in which he lives*

Such a rule would not be found in a descriptive grammar, where the grammarian's interest lies in the question of whether sentence-final prepositions do or do not occur in modern English and, more specifically, if they do, what types of contexts favour their occurrence. In this particular case, it would be important for the descriptive grammarian to distinguish between formal contexts, which are more likely to favour the occurrence of a sentence such as *This is the house in which he lives*, and informal contexts, where *This is the house* (*which*) *he lives in* is more likely.

Whereas prescriptive accounts tend to operate with a simple contrast between correct and incorrect, descriptive accounts recognise the existence of different varieties of language: formal vs. informal, written vs. spoken, standard vs. non-standard and so on. The point is that both *This is the house in which he lives* and *This is the house he lives in* are constructed according to valid principles of grammar: the first sentence is not inherently better than the second and, in fact, it would create an effect of aloofness or stiffness if produced in an informal context.

Prescriptive grammar and descriptive grammar are not necessarily in conflict: they simply have different goals. Prescriptive grammarians present rules that they intend their readers to follow, while descriptive grammarians aim to account for the grammatical system that underlies our use of language. Prescriptive grammar is in a sense logically dependent on descriptive grammar: only prescriptive rules that are based on a sound description of the facts should merit our attention. This is the problem with, for instance, the traditional prescriptive rule forbidding the 'splitting' of infinitives, that is, the interposing of a word or phrase between the infinitival marker *to* and its verb, as exemplified in:

*She used **to** deliberately **annoy** the neighbours*

Despite the prescriptive rule, such a sentence is more likely to be heard in contemporary usage than *She used to annoy the neighbours deliberately* and *She used deliberately to annoy the neighbours*: the rule is out of step with what a descriptive grammar would recognise to be the facts of usage.

Or again, it seems unreasonable to insist on the prescriptive rule that *may*, rather than *can*, should be used in requesting and granting permission, in view of the fact that (1) below is a more natural-sounding interchange than (2), at least in a typically informal, family environment.

1. *Can I have a lemonade please? Yes, you can*
2. *May I have a lemonade please? Yes, you may*

An important distinction that it is relevant to invoke in this section is that between *rules of grammar* and *rules of style.* Sentences that conform to rules of grammar are sometimes referred to as 'well formed', while those that do not are referred to as 'ill-formed'. Sentences that conform to rules of style – those which dictate whether sentences are stylistically acceptable; in other words, easy to follow, unambiguous and clear – are said to be 'acceptable', while those that do not are said to be 'unacceptable'. A sentence may be grammatically well formed and yet stylistically unacceptable. For example:

Did you see the man near the table with the hairy legs?

This sentence does not break any rule of grammar, but is stylistically flawed in so far as it allows for an unintended interpretation in which it is the table rather than the man that has hairy legs. Further examples of stylistically awkward – but not ungrammatical – sentences are:

Here is a photograph that a boy who my sister met in France last year took

Mary has handed all the goods currently in her possession over

These sentences do not break any grammatical rule of English, but they do contravene the principles of effective communication. The first is difficult to follow, and may require several readings before the message is understood; it could be more felicitously expressed as *Here is a photograph taken by a boy that my sister met in France last year*. In the second, the position of *over* disrupts the balance of the sentence, a problem that could be solved by moving it closer to the verb *handed*, as in *Mary has handed over all the goods currently in her possession*.

Using language effectively is a skill that can be developed and improved. An increased knowledge of the grammatical resources of the language will provide the language user with conscious mastery over a range of

possibilities for constructing sentences effectively. This is undoubtedly one of the most important reasons for learning about grammar.

1.8   Grammar and the Description of Texts

Section 1.1 of this introductory chapter is entitled 'Grammar and the Description of Language'. Traditionally, grammarians are concerned with terms and structures at the level of words, phrases and sentences. However, language as used in 'real life' does not stop at the full stops that mark off the ends of sentences. We need to see how those 'bricks and mortar' of language are combined together to produce **texts**, and how we vary them according to the circumstances in which the texts are produced. Part B of this book will be concerned with the use of language in 'real-life' texts, and with some of the many variables that affect this. In this section we shall provide a preliminary answer to the question: What is a text?

Unlike inflections, words, phrases and sentences, a text is not a unit of grammar. It is defined as a product of communication, a piece of language whose shape is motivated by its semantic purposes and pragmatic roles. A text may be spoken or written, spontaneous or prepared, produced by one person or by many. It may be as long as a 12-part television series or as short as a one-word notice, *Danger!* This book, a poem discussed in this book, a journal review of this book, or a radio interview with one of the authors of this book are each an example of a text.

What gives a random collection of sentences, or even a single isolated word, the property of textuality is a combination of text-internal links and text-external relevance. Linguists commonly refer to these two factors respectively as **cohesion** and **coherence**. Cohesion is the type of organisation in a text that is created by the presence (or absence) in each sentence of distinctive, recognisable linguistic items that relate it to preceding and/or following sentences. These items, which include pronouns, coordinators, subordinators and repeated lexical items, will be discussed in detail in Chapter 9. It is important to note, however, that the absence of formal cohesion may not in itself prevent a stretch of language from being identified as a text. Consider the following example, an interchange between a husband and his wife:

1. A: *The phone's ringing*
   B: *I'm washing my hair*

Most readers will assume that the sequence of sentences in (1) constitutes a text; that is, that speaker B's utterance is not a *non sequitur*, even though its relationship to speaker A's utterance is indirect and relies heavily on inferences being drawn by the two speakers. A's statement is presumably intended as a directive to his wife to answer the phone, while the wife's response is presumably to be interpreted as providing the reason for her inability or unwillingness to comply with his directive.

Nor does the presence of formal cohesion guarantee a collection of sentences the status of a text. The following examples contain ostensibly cohesive features, but they lack coherence:

2. I bought an old *Ford*. The car which President *Ford* used was black. Black English has been recently in the *news*. The latest news is that the drought will break next *week*. A *week* has seven days. *Yesterday* I found a *cat*. The fat *cat* sat on the *mat* …

3. Fire engines sit 6 in the front and 6 in the back
   6 and 6 makes 12
   12 inches is a ruler
   Queen Elizabeth ruled the seven seas
   Seas have fish
   Fish have fins
   The Finns fought the Soviets
   The Soviet flag is red

However, consider example (3) again, this time prefaced by the question *Hey, do you know why fire engines are red?* and concluded by the clincher *And that's why fire engines are red!* It will now be recognised by most people as an example of a joke, specifically a 'shaggy-dog' riddle, where the humour is derived precisely from the mismatch between the text's obvious cohesiveness and its apparent lack of coherence: it contains clearly identifiable lexical connections, yet it is hard to tell where the whole progression is leading.

While cohesion is an internal property of texts – an objective matter, capable of automatic recognition – coherence reflects the fact that linguistic communication takes place in an extralinguistic environment. What is felt to be a text must be so because it has a recognised function and form in some 'real-life' situation. Given a little imagination, we must be able to provide or invent some plausible, potential, extralinguistic context for the stretch of language in question. As speakers, we tend to assume that any sequence must 'make sense' and will draw on

a number of possible resources to make it so. We will use the immediate context in which we find ourselves, our socially and culturally 'shared' knowledge, and any inferences that seem viable. Our implicit knowledge of what, in 1975, American philosopher H. P. Grice called the 'cooperative principle' will predispose us to thinking that *I'm washing my hair* in (1B) above is indeed intended as a sensible response under the circumstances. The 'cooperative principle' is characterised by the following maxims: in any conversation the speaker will typically be truthful and relevant, contribute to the conversation as much material as is necessary and appropriate to the purposes of the conversation, and avoid the expression of this information in an obscure or ambiguous manner.

1.9   Grammar and Language Variety

In the previous section we defined a text as 'a product of communication', a piece of language that not only exhibits systematic text-internal links (cohesion), but which must also make sense within itself and must be appropriate in its context (coherence). This section will begin to describe those factors of the text-external context that are relevant to the production of texts. They will be discussed in detail in Chapters 10 and 11.

Another area where we must take into consideration the apparent inconsistencies between grammatical structure and language use is that of so-called 'indirect speech acts'. For instance, it is generally considered more polite in English to express requests and commands in the form of interrogatives, or even as declaratives with embedded interrogatives, rather than as imperatives. Thus, *Close the door!* is less polite than *Would you please close the door* or *I was wondering if you'd mind closing the door.* And what adult has not been frustrated by a typical, and provocative, teenage response to indirect requests such as *Do you have the time? – Yes.*

As humans, we use language to accompany and facilitate virtually all our interactions with each other. We use language to inform and to deceive, to cajole and to insult, to express our deepest feelings and to amuse ourselves and others. We do not have to have training in linguistics

to recognise the various ways in which the pronunciation of words and choice of words and constructions differ from day to day, from person to person, from activity to activity. Australians are amused by the New Zealanders' pronunciation of 'six' as 'sux', children are often disturbed by 'mummy's telephone voice' and they seem to know intuitively that certain 'naughty' words are best not said in front of their grandparents. We can usually recognise whether we are listening to a casual conversation or a prepared after-dinner speech, and to some extent can tell from the language alone whether it has been produced by a man or a woman, a young person or an older one, someone with a great deal of education or someone with very little. We shall discuss these aspects of language variation in greater detail shortly. But first, let us see how language use may vary in the life of an imaginary person, Jane Smith.

Jane Smith is a tall, 38-year-old redhead. Born in a small country town, she has lived half her life in a capital city, having gone to university there and married a student boyfriend who now teaches linguistics at a major university. They have two young children. Jane is a consultant cardiologist with a private practice. She is involved in research and is on the board of a large local hospital. In what spare time she has she loves to read and to play games with her children, sings with the university choir and shares with her children their love of horses. During their holidays she loves to 'muck around' on a friend's farm. Jane leads a very busy life and although she is not particularly vain, she has an extensive wardrobe of clothes. She needs a white coat for hospital ward rounds, formal suits for board meetings, a long black skirt for choir performances and a range of other clothes suitable for work and relaxation.

What place does all the above have in a book on English grammar, you may well ask? The metaphor of clothes is not uncommonly used by linguists to account for our use of different linguistic patterns to suit different social situations. Jane does not normally wear a nightgown to go horse riding or a hospital gown to a dinner party; in similar fashion she modifies her language, both deliberately and intuitively, to fit the circumstances of its use. It is not that some of her clothes are wrong, unacceptable or improper in themselves, any more than slurring or abbreviating words, using slang or jargon, or conducting a conversation in disjointed, incomplete sentences are wrong, unacceptable or improper in their place. It is just that there are times when you wear your tracksuit and times when only your 'Sunday best' will do, and so it is with your use of language. In her private life Jane loves puns, jokes and all sorts of linguistic play; she restrains herself at the public board meetings, although not always with her patients and colleagues. The terminology she uses to discuss medical issues with her colleagues needs

to be made less technical and more everyday when she explains these issues to her patients. As a doctor, she needs to be particularly aware of the special sensibilities of some of her patients, to adjust her language according to their age, sex and regional background, and to be on the alert for various verbal cues to hidden problems and delicate matters. In her professional communication with other doctors Jane can make a quick phone call or send a fax or an email. Occasionally, she will write a long, formal letter and have it typed by her secretary. She must, however, always remember to send handwritten thank you letters to her great-aunt; the old lady is rather old-fashioned and does not consider a telephone call to be appropriate.

The variety of names to which Jane answers are a good indication of her relationship with different people. Most of her patients address her as Dr Smith, but she is not a particularly formal person and many patients, as well as her secretary, call her by her first name. To her family she is 'Mum', 'Sweetie', 'Janey', 'Jennikins'; her siblings call her 'EJ', 'Jano' or 'Pud' (for pudding face); the school secretary often addresses her by her married name as 'Mrs Jones'.

The only aspects of our description of Jane that are not likely to be relevant to the issue of language variation are those involving her physical characteristics – her height and the colour of her hair.

The fictional Jane Smith, like every individual speaker of a language, can be said to have a separate **idiolect**, a way of using language which, like our other mannerisms, reflects both the core linguistic features we share with many other speakers of the language and our own personal and familial favourite expressions. It is likely that every speaker of a language can be said to have, at least to some extent, a separate, individual idiolect, and being able to create a character with a credible distinctive idiolect is a valuable skill for writers of fiction. For a broader, descriptive analysis of language, however, the common core background features that contribute to our idiolect can be separated into two categories, 'dialect' and 'register'.

The term **dialect** is used to describe language varieties determined by fairly permanent characteristics of the language 'user': the region they come from, their age, sex and social class. **Register** is a term many modern linguists use to describe what is also known as 'style', that is, the variations in language that reflect the ways in which language is used in different contexts; for example, spoken or written, formal or informal, general or belonging to a particular occupation. While most speakers habitually use only one dialect, they will typically control a considerable **repertoire** of registers (just as they will select clothes that are suitable for different occasions).

1.9.1   Dialect

The original nineteenth-century work on dialectology concentrated on providing detailed descriptions of regional dialects; for example, the distinctive features of the English used in different rural and urban communities, such as West Yorkshire or New York, and extending to broader distinctions such as American, Australian, Indian or Irish Englishes. The association of dialect with regional spoken language only has led to some confusion with the term 'accent'. The difference is that while the term 'accent' describes only phonological features, dialects show distinctive patterns in all areas of language: phonology, grammar and **lexis**. For example, the distinctiveness of the American accent is reflected in the fact that, among other things, in the pronunciation of most speakers the vowel in words such as *can't* rhymes with that of *can*, whereas for most British and Australian speakers it rhymes with that of *car*. The fact that American English is a distinct dialect of English is reflected, additionally, in such grammatical features as the use of *to hospital* (compare British English *to the hospital*) and *Australia has won the Davis Cup* (compare British *Australia have won the Davis Cup*), and in such lexical features as the use of *cookies* (compare British *biscuits*) and *gas* (compare British *petrol*).

In the second half of the twentieth century, sociolinguists turned to study the effects of social variables on language use. For example, younger people tend to use language less conservatively than older people and their innovativeness influences the direction of language change. A number of differences in the language use of men and women have also been identified, suggesting that men and women may employ some different communicative strategies, for example, women tend to play a more 'facilitative' role in conversation than men, that women show a tendency to use more prestigious forms in all areas of language, for example, a predilection for 'hypercorrection' as in *He is taller than **I***). There are also some predictable differences in vocabulary choice, for example adjectives such as *adorable* and *lovely* are preferred more by women than men.

While all dialects in principle serve the common needs of their community, none being less correct, proper or pleasant-sounding than any other, in all language communities one dialect is singled out for further development, standardisation and prestige status. This dialect, known as the **standard**, begins life as an ordinary regional variety, but comes to be accepted (often as an accident of fate, such as its use in the capital city and in centres of education and government) as the appropriate variety for written communication, education, official use and in the mass media, evolving to suit the changing needs of the whole country,

and cutting across regional and register differences. Sometimes, standardisation is undertaken deliberately, for example as part of a country's process of attaining nationhood, and one dialect becomes standardised in dictionaries and grammar books. Through its association with the dominant groups in society, this dialect often comes to be considered as representing an absolute standard of correctness for that language (see also Section 1.7). The standard variety is often spoken with an associated accent, for example 'RP', or received pronunciation, in England, although it has become increasingly more common for users of the standard dialect to retain their local way of speaking.

> It must be noted at this stage that, not without a touch of irony, the terms 'dialect' and 'accent' are themselves subject to dialectal variation. In England, the term 'dialect' tends to exclude 'accent', as many English people speak an English that is standard in their use of grammar and lexis, but with a regional accent. However, in the USA, where regional accent differences are less pronounced, the term 'dialect' tends to subsume all three aspects of language.

The standard, prestige, dialect is typically used by the wealthier and better educated members of the community, irrespective of their regional roots. On the other hand, some regional and social dialects, especially where their speakers belong to the lower socioeconomic classes, become stigmatised, such as African American English. Children from socially disadvantaged backgrounds, such as those of African or Spanish descent in the USA, often have considerable problems at school, where Standard English tends to be promoted and their use of stigmatised dialects may be identified with low intelligence and potential ineducability. Such children will often find it difficult to forsake the language of their normal home environment for a dialect with which they do not identify and which appears to devalue their background and group identity. The children who come to school speaking the standard prestige variety do not experience this discontinuity and doubtless find this to their advantage.

At this stage, we should perhaps introduce another term in use, particularly in sociolinguistics. The term is 'sociolect' – a 'social dialect' that is identified with communities united not by their geographical provenance but by particular demographic distinctions. The typical demographic selections made here will be on the basis of gender, ethnicity,

or socioeconomic disadvantage. Feminist linguistics, for example, has endeavoured to provide descriptions of a particularly female conversational style and the lexis more typically used by women, and to suggest the reasons for the linguistic differences and, most importantly, the consequences to women of using these different language styles. Basil Bernstein, a well-known British sociologist, has studied the problems that children from lower socioeconomic families in Britain have in adjusting to the expectations of predominantly middle-class teachers and schools.

1.9.2   Register

Register varieties are defined according to their social and occupational origins; for instance, we can speak of a register of religious writing, a register of advertising, or a formal register. The term is a useful abstraction that serves to correlate patterns of distinctive linguistic features with the dimensions of their immediate context or situation. One strategy used to identify and define registers is in terms of the following three dimensions:

- **field –** broadly speaking, the subject matter of the text
- **tenor –** the social roles filled by the people taking part and the personal relationships between them
- **mode –** the channel or medium of communication that is primarily spoken or written.

These three dimensions of register will be discussed in detail in Chapter 10; however, at this stage two points need to be made:

1. Although it is convenient for the purposes of analysis to separate the three dimensions of field, tenor and mode, the division is an artificial one. All three dimensions operate simultaneously; they are mutually constraining and mutually determining. A change in one dimension, for example from a spoken mode to written mode, will have the effect of producing greater formality and distance in the tenor and a selection of different lexis and grammatical structures in the field. Text analysis exercises often attempt to keep two of the three dimensions 'constant', varying only the category under analysis, but we must bear in mind that 'real' language always incorporates all three dimensions.

2. If one has some acquaintance with a type of register, it may be possible to predict a number of its linguistic features and to identify some aspects of the non-linguistic context in which the text is situated; for example, the use of *aforesaid* will almost certainly indicate a legal register. Mostly, however, register analysis must be kept relatively open-ended, especially since what is expected and considered appropriate in a particular register may change over the course of time. For example, guidelines for **Plain English** – the use of simple, direct, clear and unpretentious language in legal and official documents and in medical, technical and business usage – are now being developed in many English-speaking countries. Moreover, we must keep in mind that the categories of description, for instance describing tenor as formal or informal, are based on the two extremities of what is, in fact, a continuum. Not only can the actual text select features of formality from any point within the possible spectrum, but 'inappropriate' choices can also be made deliberately, usually for a parodic or humorous effect.

It is advisable as early as possible in your study of grammar to become adept at noticing various grammatical features about the texts presented to you, and to try to understand what textual and register needs they relate to. A list of many such grammatical features is provided in Chapter 11. For example, you will notice that some texts have a preference for very long and complex NPs, or the S P PCs structure, or non-finite clauses. In Part B, you will be required to make use of this newly acquired grammatical knowledge in order to judge how texts are constructed to be effective in the context for which they are designated.

The two categories of dialect and register intersect in a number of ways. In many language communities there is strong division of labour between dialects, with only the high variety (standard and prestige) or the low variety (colloquial and local) being considered appropriate for use with certain registers. This situation is known as **diglossia**. The term **code-switching** is often applied where register differences are associated with a number of completely separate languages, for example English and Welsh in Wales, or English and Spanish in the USA, or English, Chinese, Tamil and Malay in Singapore.

Exercises

1a. Discuss the adequacy of the following (notional) definition found in many traditional grammars: 'An imperative sentence is one used to give an order.' Consider not just the reasons why this definition would not enable us to reliably identify imperative sentences in English, but also how it could be improved in such a way as to achieve this objective.

1b. For each lexeme (bold type), write out all the inflectional word forms that are possible in the given context:

1. *Our **friend** will be **leave** on the 3 o'clock train*
2. *We **have be** trying to find a **good** price*
3. *Some of **they be** in the mood for a party*
4. *We were **encourage** to find a **simple** solution*
5. *Mary **be be** harassed by her boss*
6. ***Do** you support the local **team**?*

Example:

He	***be***	*the*	*one*	***who***	*I*	***want***	*to **come***
	is	*who*	*want*	*come*			
	was	*whom*	*wanted*				
	isn't						
	wasn't						

1c. Answer the questions based on the following constituency 'tree diagrams'. You should assume that the analysis given is correct.

1. *You're lying down* [G]
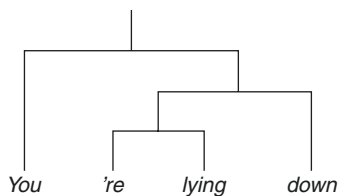
a. Is *'re lying down* a constituent?
b. Is *You're lying* a constituent?
c. What are the immediate constituents of *You're lying down?*

2. *It makes all sorts of noises in the wind* [G]
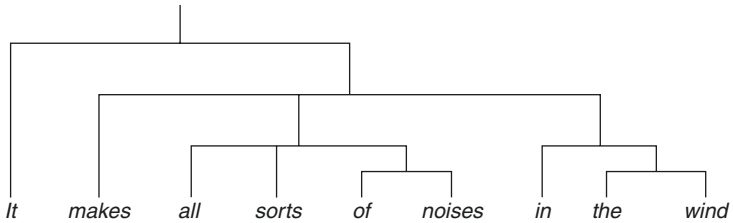
a. Is *noises in the wind* a constituent?
b. Is *of noises* a constituent?
c. What are the immediate constituents of *makes all sorts of noises in the wind?*

1d. Each of the sentences analysed below has two structural interpretations, as represented in the two tree diagrams provided. In each case explain the ambiguity, indicating which interpretation corresponds to which tree diagram.

1a.

1b.

2a.

2b.

3a.

3b.

The Japanese car salesman is   here   The Japanese car salesman is here
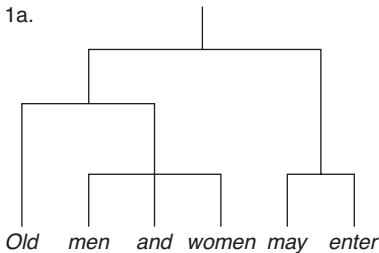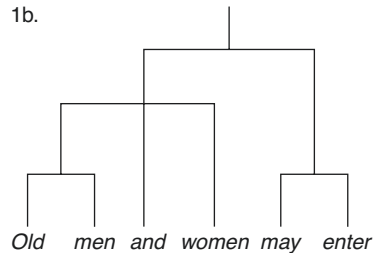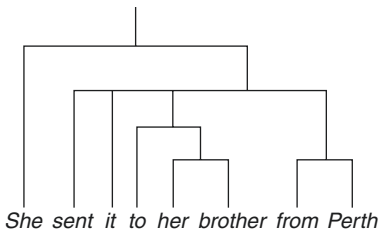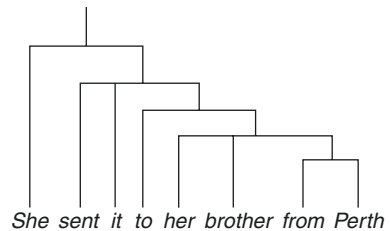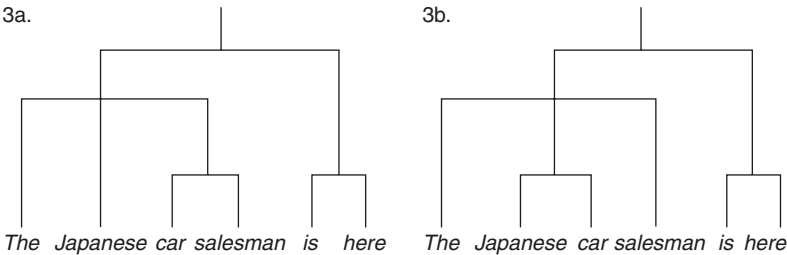
1e. Convert the following labelled tree diagram into a labelled bracket-
     ing. This is merely a mechanical exercise; you are not required to
     understand the labels in order to complete it.

CI

S:NP   Pred:PredP

H:N   M:PP   P:VP   PCs:AdjP

     Rel:Prep   Ax:NP   M:Aux   H:Mv   M:Adv   H:Adj

              Dr:Dv   H:N

People   from   the   country   can   become   quite   lonely
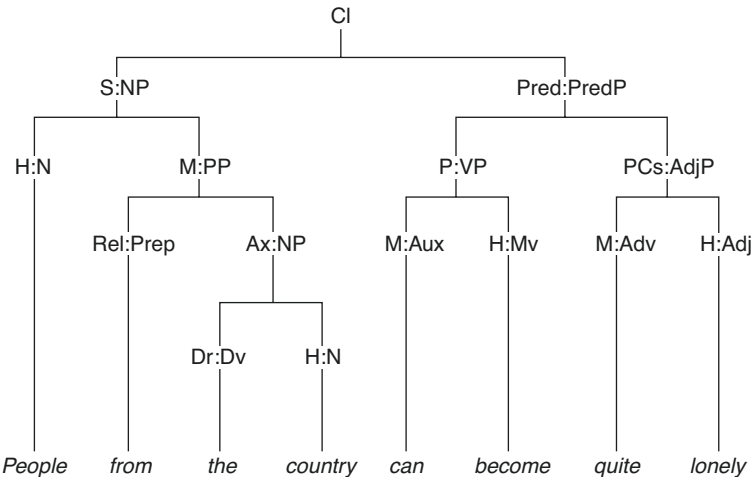
1f. Convert the following labelled bracketing into a labelled tree dia-
     gram. This is merely a mechanical exercise; you are not required to
     understand the labels in order to complete it.

$[\, _{NP}^{S} \, (_{Dv}^{Dr} \, \textit{The} \, _{N}^{H} \textit{teacher}) \, _{PredP}^{Pred} \, (_{VP}^{P} \, (_{Aux}^{M} \, \textit{has} \, _{Mv}^{H} \textit{given}) \, _{NP}^{Oi} \, (_{Pn}^{H} \textit{her})$

$_{NP}^{Od} \, (_{Dv}^{Dr} \, \textit{the} \, _{Adj}^{M} \textit{highest} \, _{N}^{H} \textit{mark} \, _{PP}^{M} \, (_{Prep}^{Rel} \, \textit{in} \, _{NP}^{Ax} \, (_{Dv}^{Dr} \, \textit{the} \, _{N}^{H} \textit{class}))))]$
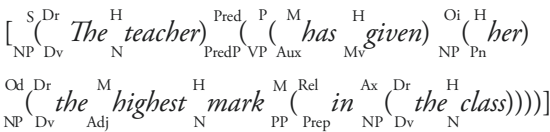
1g. The following sentences would be rejected by some speakers as breaking various 'rules' of prescriptive grammar. Try to find out what the rule is in each case. Do you consider that the rule has any validity in Modern English?

1. *None of the children have finished their homework*
2. *There should be no ill feeling between you and I*
3. *We were surprised at them being absent*
4. *It would be unwise to completely ignore him*
5. *Which room were you hiding in?*
6. *They have been monitoring our progress more closely than it has ever been before*
7. *Sonia is taller than him*

1h. A number of different texts are to be found in the Appendices. Read through them and make some judgement about each in terms of the register features suggested in Section 1.9. Which texts seem to be most 'written' in mode, as against those which can only have been spoken?

1i. Appendix F presents a clear distinction between the language used by the announcer and the interviewer and that used by the band members. What are some of the grammatical and lexical differences that you can identify?

2 A Preliminary Overview

In presenting the grammar of a language we are inevitably confronted with a paradox: the categories of grammar are closely interrelated (e.g. preposition and prepositional phrase, noun and subject, adjective and complement) and yet we can only introduce them in a linear fashion. Our strategy will be to begin by presenting an overview of the basic components of grammar, one which will be expanded and refined in subsequent chapters. Our plan is to work up from the **parts of speech**, which are the elementary building blocks of grammar, through **phrases** and **clauses**, to the largest units of grammar, **sentences**. The 'intermediate' units, phrases and clauses, are structurally quite different from one another. As we shall see in this chapter, most phrases are constructed around a 'head' word, while clauses have a subject-predicate structure.

2.1 The Parts of Speech

Traditional grammars generally distinguish eight 'parts of speech', or 'word classes': noun, pronoun, verb, adjective, adverb, preposition, conjunction and interjection. There is much in this classification that is sound and that has, not surprisingly, stood the test of time. Nevertheless, there is also much that can be improved upon.

For a start, interjections have little significant role to play in the grammar of English. They include emotive expressions (*ouch*, *oh*, *phew*, etc.), swear words (*shit*, *damn*, etc.), greetings (*hi*, *bye*, etc.) and certain 'discourse particles' (*yeah*, *OK*, *well*, etc.). They are peripheral to the language system and are better handled in the context of a discussion of spoken discourse (notice that some even lack the recognisable phonological form of words: *hmm*, *psst*, etc.). See Chapter 10 for a more extensive discussion of the features of spoken discourse.

Another point is that the differences between nouns and pronouns are not sufficient to warrant treating them as separate primary classes: rather, we shall regard pronouns – as they are regarded in many modern grammars – as being a subclass of nouns.

Let us begin by distinguishing eight primary classes (presented below with examples), a number of which have subclasses that we shall examine later. The two largest classes are nouns and verbs, and they are arguably also the most important, in so far as the most basic type of clause (see Section 2.5) contains at least one noun and one verb as subject and predicate (as in *Dogs bark*). Notice that the traditional class of conjunctions has been replaced by the two primary classes of subordinators (corresponding to the traditional subclass of 'subordinating conjunctions') and coordinators (corresponding to the traditional subclass of 'coordinating conjunctions'), in recognition of their quite distinct grammatical roles (see Section 2.4 and Chapter 7). Note also that determinatives are more commonly referred to as 'determiners' in modern grammars: in this book, the term 'determinative' is used for a grammatical class and 'determiner' for the grammatical function associated with that class (see Section 3.5).

Noun (N)	*Many **people** own **yachts** in **Monaco***
Verb (V)	*She **has** already **organised** the farewell party*
Adjective (Adj)	*The **red** apples are more **expensive***
Adverb (Adv)	*You should **never** treat us **rudely***
Preposition (Prep)	*Bill is **in** trouble **over** his decision*
Subordinator (Subord)	*He says **that** he'll leave **when** he's ready*
Coordinator (Coord)	*Do you **and** Joe prefer red wine **or** white?*
Determinative (Dv)	***The** poor woman has suffered **a** tragic loss*

Here is a sentence from Appendix D. As a preliminary exercise, see how many words you can correctly label (ignore the punctuation). The answer is given at the end of this chapter.

In the Army, you gain a new sense of confidence, leadership and discipline. Which are qualities that are always in demand.

A number of general points may be made about this classification:

- *Subsidiary role of semantics:* The classification is based on distinctions of grammatical behaviour, with semantic considerations playing a merely subsidiary role. Thus, for example, *explode* and *explosion* are very similar in the meanings that they express, but we regard them as belonging to the verb and noun classes respectively on

the basis of the way they behave in the structure of clauses and their morphological form (these are discussed in Section 2.3).

- *Multiple class membership:* Words may belong to more than one word class. *Down*, for example, may be a preposition (e.g. *She ran **down** the road*), an adverb (e.g. *She fell **down***), an adjective (e.g. *She's feeling very **down** today*), a noun (e.g. *My quilt is filled with **down***) or a verb (e.g. *Watch him **down** this schooner of beer*).

Normally, a sentence will provide enough context to indicate which part of speech is involved, but occasionally ambiguities can occur, as in *She looked down*, where *down* could be interpreted either as the adjective ('She looked dejected') or the adverb ('She looked downwards'). Since the defining criteria for word classes are grammatical, in cases where we have overlapping classes, the only way to determine which class a word belongs to is to consider the grammatical context. For example, *kindly* is an adjective in *He's a kindly person* because it modifies the noun *person*, but an adverb in *He behaved kindly* because it modifies the verb *behaved*; *hammer* is a noun in *Pass me the hammer* because it takes the article *the* as a dependent, but a verb in *You should hammer that nail right in* because it has an object, *that nail.*

At this stage it is useful to introduce a tangential but important point. Some instances of multiple class membership are the result of accidents of history – the words may look and sound identical, but are not semantically related at all. We call such pairs 'homonyms'. English often exploits the resulting potential as a basis for humour. For example, consider the following joke (very popular with 8- to 9-year-olds). Q. *How do you get down from an elephant?* A. *You don't. You get down from a duck.* All the other examples of *down* above are a result of conversion or polysemy. The original meaning can be extended to other parts of speech without any morphological change (conversion), as with the preposition to adverb conversion. Where any change in meaning is still recognisably derivationally related – for example, the adjective *down*, as in *feeling down*, is clearly a metaphoric use of the original directional preposition/adverb – we have polysemy. However, the noun *down* and the adverb *down* are homonyms, that is, they are not related in meaning in any way and will be listed separately in a dictionary.

- *Subclasses:* As we have already noted in Section 1.3, grammatical classes will have not only prototypical, but also non-prototypical members. Furthermore, the eight parts of speech that we have identified are 'primary' classes, intended to capture the grammatical similarities and differences between words at a very general level only. For many of the eight primary classes there are subclasses that are widely recognised, and which we must explore in subsequent chapters; for example, common vs. proper nouns, transitive vs. intransitive verbs, and attributive vs. predicative adjectives.
- *Open vs. closed classes:* The eight word classes may be subdivided broadly into **open classes** (the first four above: noun, verb, adjective, adverb) and **closed classes** (the second four: preposition, subordinator, coordinator, determinative).
    - The **open classes** have a comparatively large membership, one that is open to the admission of new items. New members may be formed by means of the processes of lexical morphology, some of which we have referred to in Section 1.4 (as with the verb *prioritise*, which is derived from the noun *priority* by suffixation), or by borrowing from another language (as with the noun *restaurant*, from French). Open class words are sometimes referred to as 'lexical' or 'content' words, reflecting their lexical content; for example, nouns characteristically denote entities, verbs activities and states, and adjectives properties.
    - The **closed classes** are, by contrast, relatively fixed in their membership; for example, the demonstratives *this*, *that*, *these* and *those*, a subclass of determinatives, have remained the same since about the time of Shakespeare, when the form *yon* was lost from Standard English. Closed class words are sometimes referred to as 'grammatical' or 'function' words, reflecting the fact that their primary role is to express grammatical categories; for example, auxiliary verbs express aspect and modality; coordinators express conjunction.

An important point to note here is that it is not just the primary word classes that may be classified as open or closed, but also subclasses of them. For instance, the three subclasses of nouns, common nouns, proper nouns and pronouns, are, respectively, open, open and closed (see Chapter 3); verbs are classifiable into the open subclass of main verbs and the closed subclass of auxiliaries (see Chapter 4).

2.2   Words and Phrases

The four open word classes have phrases associated with them, and in turn these phrases are classified according to the word functioning as their **head**. Thus, noun phrases are phrases headed by nouns, verb phrases by verbs, adjective phrases by adjectives, and adverb phrases by adverbs. There are two major properties associated with the head function. The first is '**obligatoriness**', where the head is obligatory, but dependents are usually optional. Compare:

1.   ($\overset{\text{M}}{Cool}$ $\overset{\text{H}}{drinks}$) *are available*
     NP Adj   N

2.   ($\overset{\text{H}}{Drinks}$) *are available*
     NP N

3.   *($\overset{\text{M}}{Cool}$) *are available*
     NP Adj

Cool drinks in (1) is an NP in which the head noun *drinks* is accompanied by a dependent, the adjective *cool.* It is possible to omit the dependent, as we see in (2) where the subject, *drinks*, is an acceptable 'head-only' phrase. However, as we can see from the unacceptability of (3), it is not possible to omit the head *drinks* from the subject NP.

There follow some further examples of phrases, with the obligatory head word in bold type:

NP: *the warm **current*** [E], *a steady **stream** of spiders* [E]
VP: *is **looking*** [D], *have **started*** [E]
AdjP: *very **hot*** [C], *fiercely **competitive*** [D]
AdvP: *too **seriously*** [F], *pretty **meanly*** [F]

It is not just the obligatoriness of the head that makes it dominant. It is also its role in determining the distribution of the phrase; that is, how the phrase combines with other elements of the larger construction, namely, in most cases, the clause. For example, in the NP *cool drinks*, it is the head word *drinks* rather than the dependent *cool* that accounts for the capacity of the NP to function as the subject and object respectively in:

$^{\text{S}}_{\text{NP}}$(*Cool drinks*) *are available*

They prefer $^{\text{O}}_{\text{NP}}$(*cool drinks*)

In the following sentence, it is the presence of *lost* as head of the VP *may have lost* that determines the capacity of *may have lost* to combine with *their way* as the object (if an 'intransitive' verb such as *escape* had been selected as the head word, then it would not have been possible to select an object: *_They may have escaped their way_):

They $^{\text{P M}}_{\text{VP Aux}}$(*may* $^{\text{M}}_{\text{Aux}}$ *have* $^{\text{H}}_{\text{Mv}}$ *lost*) *their way*

Not all phrases have a head-dependent structure. Prepositional phrases (PP), such as *to my brother* and *on Thursday*, and genitive phrases (GP), such as *the secretary's* (exemplified below in round brackets), belong to a general class of constructions called **relator-axis constructions** (see Sections 2.4.3 and 7.3.2, where we consider adverbial clauses as relator-axis constructions).

I sent it $^{\text{Cx}}_{\text{PP Prep}}$($^{\text{Rel}}$ *to* $^{\text{Ax}}_{\text{NP}}$(*my brother*)) $^{\text{A}}_{\text{PP Prep}}$($^{\text{Rel}}$ *on* $^{\text{Ax}}_{\text{NP}}$(*Thursday*)) $\qquad$ (PP)

$^{\text{S}}_{\text{NP GP}}$($^{\text{Dr}}_{\text{NP}}$($^{\text{Ax}}$ (*The secretary*) $^{\text{Rel}}_{\text{'s}}$'*s*) $^{\text{H}}_{\text{N}}$ *computer*) *is quite old* $\qquad$ (GP)

In order to encapsulate the distinction between head-dependent phrases and relator-axis phrases, we introduce the terms 'endocentric' and 'exocentric' (borrowed from a model of grammar called *tagmemics*, as are the terms *relator* and *axis*). **Endocentric** (or 'inwardly focused') constructions such as NP and VP are organised around their syntactically central element, the head, which determines the types of dependent elements that may or may not occur with it. By contrast, relator-axis constructions are **exocentric** ('outwardly focused'): the role of the relator, which is structurally somewhat extrinsic to the construction, is to 'relate' the axis constituent to the larger construction. Thus, for example, the relator *to* in *She gave the job to Ken* serves not only to introduce the phrase *to Ken*, but also to relate *Ken* to the verb *gave* as the 'recipient' (a traditional grammarian would say that *to* serves to mark the status of *Ken* as that of 'oblique object'). The relator *before* of the PP before *the game*, in *Let's have a*

drink before the game, serves to relate the axis NP *the game* and the proposed drink as chronologically sequential events.

GPs differ from PPs in two ways: the relator in a GP (namely *'s*) is positioned at the end rather than the beginning of the phrase, and it is not a word but rather a **clitic**. (Clitics are elements that differ from normal words in so far as they are always attached to another word, and in English they never contain a vowel: for example, *'ll* as in *she'll* and *'ve* as in *we've*.) The most characteristic function of GPs is as determiner within the structure of NPs (see Section 3.5).

2.3 The Open Classes

In this section we shall briefly consider the most salient properties of the open part of speech classes: verbs, nouns, adjectives and adverbs (followed by the closed classes in Section 2.4). The account given will be cursory, intended merely to provide you with some appreciation of the differences between the primary classes: a number of concepts and categories introduced here will be discussed in greater detail in subsequent chapters. Since all basic clauses (see Section 2.5 for a discussion of basic clauses) contain at least a noun and a verb (as in *She died* and *Charles jogs*), we shall begin with these two parts of speech, turning then to adjectives and adverbs, whose most characteristic function is to modify nouns and verbs respectively. For each of these four classes, we shall consider three general types of properties:

(a) *Syntactic:* The 'external' syntactic properties of the parts of speech include their *function* within the associated phrase and their *distribution* (specifically, the kinds of dependent items that they may combine with in phrases).

(b) *Morphological:* The 'internal' morphological properties of the parts of speech include their *inflectional morphology* (the types of inflectional properties they exhibit) and their *lexical morphology* (the morphological processes used for forming members of this part of speech from other parts of speech).

(c) *Semantic:* The types of meaning associated with each part of speech, you will recall, are often given prominence in traditional definitions. While such semantic considerations typically apply to the central members of a class, they are generally insufficient in enabling us to identify all and only the members of the class. Accordingly, we shall regard this third type of category as subsidiary to the first two.

2.3.1   Nouns

(a) *Syntactic:* **Nouns** characteristically function as the head of noun phrases, and these in turn may function as subject, object, predicative complement or adjunct in the clause (see Section 2.6):

$$_{\text{NP}}^{\text{S}} (\textbf{\textit{My best friend}}) \textit{ has arrived} \hspace{4cm} \text{(subject)}$$

$$\textit{I contacted } _{\text{NP}}^{\text{O}} (\textbf{\textit{my best friend}}) \hspace{4cm} \text{(object)}$$

$$\textit{She is } _{\text{NP}}^{\text{PC}} (\textbf{\textit{my best friend}}) \hspace{3cm} \text{(predicative complement)}$$

$$\textit{My best friend left } _{\text{NP}}^{\text{S}} (\textbf{\textit{last Friday}}) \hspace{3.5cm} \text{(adjunct)}$$

Within noun phrases, nouns take a range of dependents different from those taken by the other parts of speech; most distinctively, nouns are the only part of speech to take adjectives and determinatives as dependents (see Section 3.5). Nouns are also the only class to take relative clauses (see Section 3.6) as dependents.

(b) *Morphological:* Most nouns have separate inflectional forms for number (singular and plural) and for possessive (or 'genitive') case (e.g. *table/tables/table's/tables'*, *horse/horses/horse's/horses'*). Pronouns have a comparatively wide array of inflectional case forms: for details, see Section 3.3.

Nouns are commonly derived from other word classes by suffixes such as *-ness* and *-(i)ty* (usually used to derive nouns from adjectives, as in *thickness* and *royalty*) and *-er*, *-ment* and *-ion* (usually used to derive nouns from verbs, as in *helper*, *retirement* and *inflation*).

(c) *Semantic:* Prototypical nouns denote persons and concrete objects. A distinction is often drawn between nouns of this type, called 'concrete' nouns, and 'abstract' nouns, those denoting states, activities, occasions and so on (e.g. *decadence*, *retirement*, *birthday*). It is the 'non-*object*' meanings of abstract nouns that locates them on the periphery of the noun category, where their meanings merge with those of other parts of speech: *decadence ~ decadent, retirement ~ retire, sadness ~ sad.* Since the distinction between concrete and abstract nouns is a semantic one rather than a grammatical one, we shall not explore it further in Part A. It will, however, be taken up again briefly in Chapters 10 and 11.

2.3.2   Verbs

(a) *Syntactic:* The vast majority of **verbs** have the distinctive property of functioning as the head of **verb phrases** (which in turn function as the predicator within the clause). Auxiliaries (e.g. *will, must, have*) are a closed subclass of verbs that function as dependents within verb phrases, as in *will sing*, *were running* and *must have gone*.

(b) *Morphological:* It is the inflectional morphology of verbs that is their most characteristic feature. Prototypically, verbs have six inflectional forms, including a contrast of tense, as discussed in Section 4.1. Thus, for example, the tensed forms of *take* are *takes*, *take* and *took*, and the non-tensed forms are *take*, *taking* and *taken.*

   There are some verbs that display distinctive features of lexical morphology (notably verb-forming suffixes such as *-ise/-ize* as in *industrialise* and *terrorise*, and *-ify* as in *falsify* and *purify*.

> The suffix *-ize* is preferred more than *-ise* in the USA, while the reverse is the case in the UK and Australia.

(c) *Semantic:* Verbs characteristically express actions, activities and events (which explains why they are traditionally defined as 'doing words'), but the class also includes members that denote states and relationships (e.g. *be*, *seem*, *resemble*), sensory perceptions (e.g. *hear*, *see*), cognitive processes (e.g. *think*, *believe*) and so on. As a consequence, verbs cannot reliably be distinguished from other parts of speech on semantic grounds; thus, for example, *resemblance* and *belief* are not verbs, even though their meanings are close to those of the verbs *resemble* and *believe* respectively.

2.3.3   Adjectives

(a) *Syntactic:* **Adjectives** function as the head of **adjective phrases** (AdjPs). AdjPs in turn have a very characteristic distribution: traditionally, they are subclassified as **attributive** (as the head of an AdjP occupying the pre-head modifier slot in an NP, as in *A **dark** cloud appeared*) or **predicative** (as the head of an AdjP occupying the **predicative complement** slot in the predicate of a clause, as in *The cloud was **dark***).

Most adjectives may take degree expressions as dependents: *very large*, *quite upset*, *absolutely fabulous*.

(b) *Morphological:* Many adjectives inflect to express degrees of 'comparison' (e.g. *short/shorter/shortest*; *good/better/best*).

Many adjectives have characteristic features of lexical morphology: a large number are derived from nouns by means of such suffixes as *-less* (e.g. *penniless*), *-ful* (e.g. *dreadful*), *-al* (e.g. *comical*), *-ous* (e.g. *pompous*) and *-ese* (*e.g. Japanese*). A common means of deriving adjectives from verbs is via the suffix *-able* (e.g. *enjoyable*, *agreeable*).

(c) *Semantic:* Adjectives typically denote a quality or property, including physical properties (e.g. *short*, *heavy*), psychological qualities (e.g. *sad*, *cowardly*) and evaluations (e.g. *cheap*, *silly*). Again, the meanings shared by adjectives and other parts of speech (e.g. *short ~ shortness, cowardly ~ coward*) confirm that semantic properties can at best be a subsidiary consideration in the definition of adjectives as a word class category.

2.3.4 Adverbs

(a) *Syntactic:* **Adverbs** characteristically modify verbs (e.g. *speak **loudly**, enter **gracefully***), but some may modify adjectives (e.g. ***inexcusably** late*), adverbs (e.g. ***quite** slowly*) and even entire clauses (e.g. ***Surprisingly**, the kitten emerged without a scratch*).

(b) *Morphological:* A small number of adverbs can, like adjectives, inflect for comparison (e.g. *hard/harder/hardest*), but perhaps the most distinctive feature of adverbs is to be found in their lexical morphology: a large number are derived by adding the suffix *-ly* to an adjective (e.g. *frankly*, *quickly*, *happily*). Two things should be noted with regard to this feature of adverbs, however. One is that not all *-ly* suffixed words are adverbs: a number of adjectives also carry this suffix (e.g. *a **sickly** child*, *a **cowardly** act*, *a **deadly** virus*). The second is that by no means all adverbs are derived in this way (e.g. *rather*, *fast*, *well*, *furthermore*).

> There is a greater degree of overlap between the classes of adverb and adjective in non-Standard English than in Standard English, as in *Drive slow!*; *They played good*.

(c) *Semantic:* Adverbs express various kinds of meaning, especially those which function as adjuncts (see Section 2.6). Among the most common types of meaning here are manner (e.g. *carefully*, *leniently*, *well*), place (e.g. *there*, *locally*), direction (e.g. *away*, *home*) and time (e.g. *now*, *afterwards*). Adverbs that function as modifiers in AdjPs or **adverb phrases** (AdvPs) (e.g. *very*, *slightly*, *quite*) express degree (and are considered by some grammarians to constitute a closed class). Adverbs that modify whole clauses either express a connection with what precedes (e.g. *therefore*, *however*) or express an aspect of the speaker's attitude towards the content of the clause (e.g. *frankly*, *importantly*).

2.4   The Closed Classes

The only criterion that is consistently relevant to defining the four primary closed classes is the syntactic one of distribution. With only one or two closed class items is there any inflection (some determinatives inflect for number) and there are no widely employed processes of lexical morphology to speak of. Furthermore, unlike open-class items, closed-class items (with the single exception of determinatives) do not function as the head of a phrase.

There are two further important closed classes, each of which is treated in detail in the chapters that follow. Pronouns – a closed subclass of nouns – are dealt with in Section 3.3, and auxiliaries – a closed subclass of verbs – are taken up in Section 4.2.

2.4.1   Determinatives

Determinatives have the distinctive feature of functioning as determiner in the structure of NPs (see Section 3.5). The most central members of the class are the **articles** *the* and *a(n)*; other determinatives include *this*, *some*, *which* and so on. Some determinatives can be combined (***all our*** *possessions*, ***both those*** *paintings*, ***the three*** *kittens*, etc.). Only very occasionally do determinatives take dependents, as in the determinative phrase (DvP) *very many* as in *very many people* (where *very* must be interpreted as a dependent of *many* and not *people*, as we see from the ungrammaticality of **very people*).

2.4.2   Prepositions

Prepositions function as the relator in **prepositional phrases**. They commonly express meanings that reflect the contextual circumstances

of a situation or activity, especially those relating to time and place (e.g. *in* Perth, *to* the brink, *after* your party), and role-related meanings such as agency (e.g. *It was written **by** Shakespeare*) and recipience (e.g. *He handed them **to** his sister*).

2.4.3   Subordinators

The term **subordinator** is a simpler expression used here for the traditional grammarians' label 'subordinating conjunction': for example, *that, whether, because, unless, whereas* and *although.* Like prepositions, subordinators function as relators in relator-axis constructions. The difference is that in the case of subordinators, the axis slot is filled by a clause rather than a phrase.

Many subordinators express circumstantial meanings, including time (e.g. **before** *you enrol*), condition (e.g. **if** *Tom succeeds*), cause (e.g. **because** *the train was delayed*) and concession (e.g. **although** *she prefers coffee*).

Some modern grammarians recognise a separate class of subordinators called 'complementisers', including *that, whether, if* (the *if* that alternates with *whether*, not the 'conditional' *if*) and *for* (as in *It would be good **for** you to join*). *For* is used only when the axis clause is non-finite. *That, whether* and *if* occur with finite noun clauses (see Section 7.3), *that* if the mood of the clause is declarative and *if* or *whether* if the mood is interrogative. A special feature of the subordinator *that* is that it can often be omitted; for example, it can be omitted from *He said that he was the champion*, but not from *That he was the champion is unlikely.*

There is considerable overlap between the classes of preposition and subordinator. In the following paired examples, *after* is respectively preposition and subordinator:

The party ended $_{PP}^{A}$ ($_{Prep}^{Rel}$ *after* $_{NP}^{Ax}$ *Mary's departure*)

The party ended $_{ACI}^{A}$ [$_{Subord}^{Rel}$ *after* $_{Cl}^{Ax}$ *Mary departed*]

Similar in their capacity to function as either preposition or subordinator are *as*, *before*, *since*, *than* and *until*.

> The overlap between the classes of preposition and subordinator has led to debate in contemporary linguistics as to where the boundary lies between the two classes. As we have observed in the previous box, a number of linguists restrict the class of subordinators to *that*, *whether* and (non-conditional) *if* – all occurring as relator with a noun clause: declarative in the case of *that*, and interrogative in the case of *whether* and *if*. In this approach, items such as *although*, *unless* and conditional *if* are reconceptualised as belonging to a larger class of prepositions, and prepositional phrases as constructions comprising a preposition in combination with either a phrase or a clause. For further details of this analysis, see the books by Huddleston, and Huddleston and Pullum in Some Useful References at the end of this book.

2.4.4   Coordinators

Traditionally called 'coordinating conjunctions', **coordinators** are words that can conjoin clauses (e.g. *Mary is a lawyer **and** her husband is a surgeon*) and phrases (e.g. *Pass me a pencil **or** a pen*) or words (e.g. *He ran up **and** down the hallway*). Correlative coordinators are those which do not occur as the sole marker of a coordination, but rather each introduces a unit within the coordination (e.g. ***Both** Peter **and** Mary are looking for a spouse*; ***Either** she has lost her way **or** she has forgotten to phone*).

2.5   Basic and Non-basic Clauses

In this section we shall introduce the concept of '**basic clauses**'; that is, structurally elementary, descriptively straightforward clauses that we can use as a type of benchmark for describing the diversity of clause types in English. The concept of the basic clause thus enables us to achieve a degree of economy and simplification in our grammatical description. In the early chapters of this book our focus will be on basic clauses: not until Chapter 6 will we begin the systematic description of **non-basic clauses**.

In basic clauses there is no rearrangement of the 'unmarked' order of elements. Thus *John has finished his homework* is a basic clause, but not the 'interrogative' clause *Has John finished his homework?,* where the auxiliary verb *has* is positioned before the subject *John*, nor the so-called 'cleft' sentence *It is his homework that John has finished*, in which not only does the object *his homework* precede the subject, but there are additional elements as well. Not only do non-basic clauses differ from basic clauses in that they often involve some rearrangement of their constituents and/or the inclusion of additional elements; sometimes they are subordinate or coordinate (see Chapter 7), thereby lacking the independence of basic clauses.

The properties of basic clauses are listed in the following table. It would be out of place in this introductory chapter to explain these properties in full: each property is further discussed in a subsequent chapter. Basic clauses display all the properties listed in the left-hand column, while non-basic clauses have one or more of the properties listed in the right-hand column.

Basic clauses	Non-basic clauses
Declarative clause type (e.g. *You are modest*)	Interrogative, imperative or exclamative mood (e.g. *Are you modest?*; *Be modest*; *How modest you are!*)
Positive (e.g. *He was home*)	Negative (e.g. *He wasn't home*; *No one was home*)
Independent (non-subordinate) (e.g. *She's leaving soon*)	Subordinate (e.g. *I believe **she's leaving soon***; *She wants **to leave soon***)
Simple (non-coordinate) (e.g. *He passed the exam*)	Coordinate (e.g. *He didn't study hard but **he passed the exam***)
Neutral with respect to information packaging (e.g. *Tom supplied the drinks*)	Marked for information packaging (e.g. *The drinks were supplied by Tom*; *It was Tom who supplied the drinks*; *The drinks Tom supplied*)

Notice that there is nothing preventing a basic clause from containing another clause (a subordinate clause) embedded in its structure. Thus, *I believe she's leaving soon* is a basic clause, even though it contains within its structure the subordinate (and therefore non-basic) clause *she's leaving soon*.

2.6   The Structure of Basic Clauses: A Preview

In this section we will take a preliminary look at the structure of basic clauses. A more detailed treatment will be pursued in Chapter 6. The major division within the clause is between the subject and the predicate. The **subject** is prototypically an NP, but subordinate clauses are also possible as subjects. Compare (1) below, where *his confession* functions as the subject, with (2), where the clause *that he confessed* functions as the subject:

1. $_{NP}^{S}$(*His confession*) *was a surprise*

2. $_{Cl}^{S}$[*That he confessed*] *was a surprise*

Semantically, the subject is very often associated with the role of 'actor' (the performer of an action), as in *Bill ran a good race* (but in *Bill felt tired*, Bill's role is not that of actor, but rather 'experiencer'). Very commonly, too, the subject corresponds to the 'topic' (what the clause is primarily about). Thus the most likely motivation for selecting an active clause such as *Disraeli repealed the Act* instead of its non-basic passive counterpart, *The Act was repealed by Disraeli*, would be the speaker's desire to assert something about Disraeli rather than about the Act.

In Chapter 1 we noted the importance of using formal (non-semantic) properties to define grammatical categories. Some formal properties of the subject in English are as follows:

- The subject in English can invert with the 'operator' (see Section 4.2) to form interrogatives (as in *Was his confession a surprise?*). A special case of this property is the capacity of an interrogative tag to identify the subject of the host clause to which it is attached (see Sections 1.2 and 6.4.2).
- The subject can determine 'agreement' (see Section 3.1) with the verb (compare *His sister **is** ill*, where the singular subject *his sister* requires the singular verb *is*, with *His sisters **are** ill*, where the plural subject *his sisters* requires the plural verb *are*).
- The subject may be in the form of, or can often be substituted by, a pronoun in the nominative case (case is explained in Section 3.3). Thus, in a sentence such as *Mary likes Jill*, we can confirm that *Mary* is the subject by noting the possibility of substituting *she* for it (*She likes Jill*), and by contrast, we can confirm that *Jill* is not the subject by noting the impossibility of substituting *she* for it (**Mary likes she*).

The **predicate** is quite simply what is left once the subject is removed from the clause; for example, *was a surprise* in *His confession was a surprise*. As this rather negative definition suggests, the predicate does not have a vital role to play in the grammatical description of basic clauses. Accordingly, we have used a makeshift term, the 'predicate phrase', for the class of element associated with the predicate function.

> Note that the term 'verb phrase' is used in formal grammars for what we are referring to as the 'predicate phrase' in this book: we have reserved the term 'verb phrase' for the exclusively verbal part of the predicate phrase, that which functions as the **predicator**.

Semantically, a prototypical predicate serves to say something about an activity performed by the subject-referent or about a property ascribed to the subject-referent. Thus, in *Disraeli repealed the Act*, the predicate *repealed the Act* indicates that an activity in which Disraeli engaged was the repealing of an act.

A number of functions may be identified within the predicate phrase. They can be grouped broadly into two categories, complements and adjuncts. **Complements** are more closely related to the head of the predicate phrase than adjuncts, and typically cannot be omitted. By contrast, **adjuncts** are always omissible. Consider:

Bill became $\underset{\text{AdjP}}{\overset{\text{PC}}{}}$*(angry)* $\underset{\text{AdvP}}{\overset{\text{A}}{}}$*(yesterday)*

Here, the adjunct *yesterday* can be omitted (*Bill became angry*), but not the (predicative) complement *angry* (**Bill became yesterday*). We would similarly argue that *angry* is not omissible in *Bill grew angry* because there would be a significant change of meaning if it were. *Bill grew* could not mean 'Bill became', only 'Bill increased in size'. Furthermore, verbs select, or 'govern', particular types of complements, whereas the selection of adjuncts is not controlled in this way. Thus, if we were to replace *became* in the sentence above with various other verbs, ungrammaticality would be produced because they do not select this type of complement: **Bill thought/washed/agreed angry.* By contrast, *yesterday*, as an adjunct, is compatible with any of these verbs: *Yesterday Bill thought so*; *Yesterday Bill washed his car*; *Yesterday Bill agreed to come*. For this reason, when we come to define the various patterns that so-called 'basic' clauses can enter into in Section 6.2, we do so in terms of complements, while adjuncts are excluded.

The two main types of complement are object complement, more commonly simply referred to as **object** (O), and **predicative complement** (PC). Compare:

1. $_{NP}^{S}Dave$ $_{VP}^{P}contacted$ $_{NP}^{O}a$ plumber

2. $_{NP}^{S}Dave$ $_{VP}^{P}was$ $_{NP}^{PC}a$ plumber ~ $_{NP}^{S}Dave$ $_{VP}^{P}was$ $_{AdjP}^{PC}handsome$

Semantically, there are two participants involved in (1), Dave (who, as the actor, performs the action) and the plumber (who, as the 'patient', undergoes the action). In (2) there is only one participant: the PC denotes a property ('the capacity to work as a plumber' and 'being handsome') that is predicated of Dave. Here the role of *was* is to serve as a link between the subject and the PC; in fact, *be* is often referred to as a 'linking verb' or **copula** (and some also apply these terms to other verbs that serve a similar linking function with a PC, such as *seem*, *become*, *remain* and *appear*). In the examples under discussion, *was* is, as a copula, largely devoid of semantic content: in fact, its primary role is to indicate that the time of Dave's working as a plumber was in the past.

There are a number of syntactic differences between O and PC:

- O can normally undergo **passivisation** – a process that reverses the position of the expressions representing the 'participants' (see Section 8.2) – as in *A plumber was contacted by Dave*, the passive counterpart of (1) above. By contrast, (2), having only one participant, cannot undergo passivisation: **A plumber/handsome was been by Dave.*
- Another syntactic difference is that a PC can have the form of an AdjP as well as an NP (as in *Dave was handsome*), but an O cannot (**Dave contacted handsome*).
- Finally, there is no requirement of number agreement between O and S because they refer to different individuals or groups of individuals (*Dave contacted a plumber/some plumbers*), but normally number agreement is required between S and PC (*Dave is a plumber/*plumbers*; *Dave's friends are *a plumber/plumbers*).

Some modern grammarians treat the subject also as a type of complement on the grounds that many verbs require their subject to be of a particular type. For example, a verb such as *plan* or *desire* requires a human subject, while *finish* requires a subject that denotes an event such as *game* or *concert*.

In Chapter 6, where the structure of basic clauses is examined in greater detail, we shall see that there are subtypes of O and of PC, as well as other types of complement. Note, furthermore, that the complement is also an element that we recognise in the structure of phrases (see Sections 3.6, 5.2 and 5.4).

By contrast with complements, adjuncts are less closely integrated into the structure of the clause: they are less subject to grammatical restrictions. Whereas complements are selected by particular classes of verb, adjuncts are entirely optional elements (as we saw in the case of the example *Bill became angry yesterday* above).

Another feature of adjuncts is their characteristic positional 'mobility'. Within the sentence below, the adjunct *very carefully* could be inserted in any one of the positions indicated by a caret mark:

$$\wedge \; _{NP}^{S}\textit{John} \; \wedge \; _{VP}^{P}\textit{lifted} \; _{NP}^{O}\textit{the injured bird} \; \wedge \; _{PP}^{A}\textit{from the sand} \; \wedge$$

By contrast, the subject *John* could not be moved as to another position in the sentence, and the only acceptable alternative position for the object *the injured bird* would be in front of the subject as in *The injured bird John lifted from the sand* (which would be possible only in rather formal discourse). The various possible positions for adjuncts may be regarded as clustering around three 'zones':

- 'front zone', before the subject:

    e.g. $_{AdvP}^{A}\textbf{\textit{However}} \; _{PP}^{A}\textbf{\textit{in Japan}} \; _{NP}^{S}\textit{they} \; _{VP}^{P}\textit{eat} \; _{NP}^{O}\textit{raw fish}$

- 'central zone', usually before the VP:

    e.g. $_{NP}^{S}\textit{They} \; _{AdvP}^{A}\textbf{\textit{often}} \; _{VP}^{P}\textit{eat} \; _{NP}^{O}\textit{raw fish}$

or within the VP (the superscript horizontal bracket is used to link two discontinuous constituents):

   e.g. $_{NP}^{S}\textit{They} \; _{VP}^{P}(_{Aux}^{M\text{-}}\textit{will}) \; _{AdvP}^{A}\textbf{\textit{often}} \; (_{Mv}^{\text{-}H}\textit{eat}) \; _{NP}^{O}\textit{raw fish}$

- 'end zone', after the VP, and if there are any complements, usually after these:

    e.g. $_{NP}^{S}\textit{They} \; _{VP}^{P}\textit{eat} \; _{NP}^{O}\textit{raw fish} \; _{PP}^{A}\textbf{\textit{in Japan,}} \; _{AdvP}^{A}\textbf{\textit{however}}$

The classes of element that most commonly function as adjunct are AdvP (e.g. *quite happily*, *downwards*, *often*), PP (e.g. *with a smile*, *for them*), subordinate clause (e.g. *if I win*, *when the train arrives*) and, less commonly, an NP (e.g. *this afternoon*).

The types of labels that are traditionally applied to different kinds of adjuncts are generally semantic. They include the following, shown in the table below.

Type	Example
Time	*at 7 o'clock*
Frequency	*every weekend*
Place	*on the corner*
Purpose	*in order to see clearly*
Reason	*because he had no friends*
Condition	*if you drive*
Manner	*quite brutally*
Degree	*totally*

In addition to these types of adjuncts, there are those that have a connective role (e.g. *however*, *moreover*, *in other words*) and those which express the speaker's/writer's attitude (e.g. *unfortunately*, *to be fair*). These adjuncts have a parenthetical character: in speech, they are not intonationally tied to the verb, but rather set off by a pause, while in writing, they are usually set apart by punctuation (by a comma, a dash, or by parentheses). We shall call them **peripheral dependents**. It is not uncommon for the domain, or 'scope', of a peripheral dependent to extend beyond the clause to the broader discourse. Consider, for example, the following constructed discourse: *Surprisingly, they were finished by midnight. Then they decided to celebrate. They went out to a club and did not return until 3am the next day*. Here, we understand the speaker to be expressing surprise not merely at the early completion, but also at the subsequent celebrations and late return.

There is a grammatical test that is often useful in distinguishing peripheral dependents: they cannot be highlighted in cleft sentences. For example, in the clause *Surprisingly, they were finished by midnight*, the peripheral dependent *surprisingly* cannot be cleft highlighted (**It was surprisingly that they were finished by midnight*), but the time adjunct *by midnight* can be (*It was by midnight that they were finished*).

Some adjuncts can be either peripheral or not. For example, *honestly* is a peripheral dependent in *Honestly, we all behaved* ('I'm being honest with you when I say that we all behaved'), but a manner adjunct in *We all behaved honestly* ('We all behaved in an honest manner').

Exercises

2a. The following sentences contain words (underlined) that can belong to more than one part of speech category. Identify the part of speech of each one:

1. *I must <u>perfect</u> the operation to make the <u>perfect</u> robot*
2. *<u>Disappointed</u> by Jane again, he left an even more <u>disappointed</u> man*
3. *If there's no <u>light</u> on the ceiling, <u>light</u> a lamp to make the room <u>light</u>*
4. *<u>Turn right</u> at the corner, then make another <u>right turn</u> at the police station.*
5. *A <u>kindly</u> person is one who behaves <u>kindly</u>*
6. *He is not normally a <u>fast</u> runner, but he runs <u>fast</u> in major events*
7. *The class behaved <u>worse</u> yesterday, making relations with the teacher even <u>worse</u>*
8. *It is described as a <u>quarterly</u> journal, even though it is not published <u>quarterly</u>*

2b. In the following sets of words, there are some that belong to only one of the two classes specified and some that belong to both. Indicate which class or classes each word belongs to, and for those that belong to both classes, provide example sentences to illustrate the two uses.

1. Noun and verb:
   saucepan, *knife*, *bottle*, *toothpick*, *pepper*, *spoon*;
   father, *cousin*, *mother*, *aunt*, *sister*
2. Adjective and verb:
   even, *slow*, *straight*, *narrow*, *high*
3. Adjective and adverb:
   better, *yellow*, *hardly*, *well*, *poorly*

2c. Construct a nine-word sentence that contains one word representing each of the eight parts of speech listed in , and one additional word from any of the parts of speech.

2d. Words that have no meaning ('nonsense words') can be assigned to a part of speech category if there are sufficient grammatical clues in the context. Consider the following passage:

Several mishful plodgers were flooming dribly past the gridge, when onto the brod plinged a strun. It vorled them, breening frowly, and mubbed their niddish toks. The plodgers were pidulous, and clandishly jipped at the snitchful strun.

Mishful is an adjective because it modifies the noun *plodgers* and has the adjectival suffix *-ful*. *Plodgers* is a noun because it has the plural suffix *-s*, is modified by the adjective *mishful*, has *several* as a determiner and agrees in number with the verb *were*.

Indicate the part of speech of the remaining nonsense words in the passage and for each one provide one piece of grammatical evidence to support your answer.

2e. Specify whether the following words belong to an open or closed class (or subclass). In some cases a word may be associated with two separate lexemes.

that, peach, he, will, mine, fine, hear, at, should, mist, undo, both, bath, green, in, over

2f. In the following sets, one and only one clause is basic. Which one is it? Note that in (2a) the clause under consideration is just the one that is underlined.

1. a. *Bung in one of the new cuts of lamb* [C]
   b. *You can bung in one of the new cuts of lamb*
   c. *Can you bung in one of the new cuts of lamb?*

2. a. *Everyone agreed <u>it was a 'red' kind of day</u>* [C]
   b. *It wasn't a 'red' kind of day*
   c. *It was a 'red' kind of day*

3. a. *they're certainly not expecting distortion* [F]
   b. *they're certainly expecting distortion*
   c. *It's certainly not distortion they're expecting*

4. a. *family income has dropped while <u>workloads have increased</u>* [J]
   b. *workloads have increased*
   c. *workloads have been increased*

     5. a. *He won* [I]
       b. *They voted and he won*
       c. *Did he win?*

2g. What is the basic counterpart of each of the following non-basic clauses?

    1. *There he was met by a lady* [G]
    2. *But has this really turned out to be true?* [G]
    3. *It's not just your academic skills that can give you an edge* [D]
    4. *We're not gonna take it* [I]

2h. Is the underlined expression an object or a predicative complement?

    1. a. *She felt <u>a sharp pain</u>*
      b. *She felt <u>a complete idiot</u>*

    2. a. *John grew <u>a beard</u>*
      b. *John grew <u>angry</u>*

    3. a. *We are keeping <u>calm</u>*
      b. *We are keeping <u>the jewellery</u>*

2i. The following sentences are analysed into their constituents. Identify the function of each one as subject (S), predicator (P), object (O), predicative complement (PC) or adjunct (A).

    1. Finally | your year 12 results | are | here [D]
    2. we | 're | a highly sexual band [F]
    3. we | get | a really good reaction | from most of the crowds [F]
    4. After our feast | a short siesta | gave | us | the strength to tackle a gentle bushwalk [C]

2j. Consider the first two stanzas in the e. e. cummings' poem in Appendix A. Comment on the grammatical status of the auxiliaries *didn't*, *did* and *isn't*. What effect do you think Cummings is trying to achieve with this unconventional use?

2k. In Appendix D, a number of clauses have *you* or an NP containing *your* as determiner as their subject. Identify these subjects and comment on their communicative effect in this text.

Answer to the boxed exercise

In (Prep) the (Dv) Army (N), you (N) gain (V) a (Dv) new (Adj) sense (N) of (Prep) confidence (N), leadership (N) and (Coord) discipline (N). Which (N) are (V) qualities (N) that (N) are (V) always (Adv) in (Prep) demand (N).

3 Nouns and Noun Phrases

3.1 Subclasses of Nouns

We have introduced the most important distinctive properties of nouns in Chapter 2. Nouns can be divided into three subclasses. **Common nouns** are the largest and most central subclass, while **proper nouns** and **pronouns** are smaller subclasses with special features. In this section we shall discuss properties that are shared by the vast majority of common nouns, that is, number and case, but less systematically by proper nouns and pronouns.

3.1.1 Number

Common nouns are those to which the inflectional category of **number** applies directly, with noun lexemes having contrasting **singular** and **plural** inflectional forms (e.g. *road ~ roads*, *language ~ languages*, *mouse ~ mice*). There are, however, some exceptions to this generalisation, involving:

- invariable singular nouns, such as *ignorance*, *deafness* and *equipment* (compare **ignorances*, **deafnesses* and **equipments*), including words that look as if they are plural but are not, such as *news*, *ethics* and *politics*
- invariable plural nouns, such as *tongs*, *clothes* and *pliers* (compare **tong*, **clothe* and **plier*), including words that look as if they are singular but are not, such as *people*, *police* and *cattle*.

The test that we use to determine what the number is in difficult cases is **agreement**. Since number applies not only to nouns in English, but also to verbs and determinatives, we may contrast examples such as (1) below (where the singular number of *equipment* matches – or, 'is in

agreement with' – that of *this* and *is*) with examples such as (2) (where the plural number of *pliers* matches that of *these* and *are*):

1. ***This*** equipment ***is*** faulty
2. ***These*** pliers ***are*** faulty

Similarly, verb agreement confirms that in the following examples *news* is a singular noun (compare **The news are bad*) and *police* a plural noun (compare **The police is here*):

3. *The **news is** bad*
4. *The **police are** here*

Regular plurals are formed via the addition of the suffix *-(e)s*, as in *seat ~ seat**s*** (pronounced 's'); *seed ~ seed**s*** and *echo ~ echo**es*** (pronounced 'z'); *boss ~ boss**es*** (pronounced as a vowel plus 'z'). There are four categories of nouns with irregular plurals:

- The final consonant of the base form is modified when the plural suffix is added; e.g. *f ~ v* as in *kni**f**e ~ kni**v**es* (but such modification does not always occur with *f*-final bases, as in *chie**f** ~ chie**f**s*).
- The vowel of the base is changed and/or the suffix *-(r)en* is added; e.g. ***too**th ~ **tee**th*, *m**a**n ~ m**e**n, ox ~ ox**en**, child ~ child**ren***.
- The singular and plural forms are identical; e.g. *trout ~ trout, species ~ species*.
- The noun is borrowed from Latin, Greek or another language, and retains its 'foreign' plural (which may compete with a 'regular' plural, as in *antenna ~ antennae/antennas, cactus ~ cacti/cactuses, agendum ~ agenda/agendas*).

Some foreign plurals are treated by speakers as singulars in English. Two well-known examples from Classical Greek, *phenomena* and *criteria*, whose Greek singulars are *phenomenon* and *criterion* respectively, are not widely accepted in Standard English. By contrast, others such as *data* (whose Latinate singular is *datum*) and *media* (whose Latinate singular is *medium*) are in widespread use.

The main distinction within the class of common nouns is between '**count**' and '**mass**' nouns. Compare:

5. *John likes beer*
6. *John would like another beer*

In (5) the beer is conceived of as a quantity, a substance, but in (6) as a separate item or portion. Strictly speaking, we should refer to the count and mass '**uses**' of nouns. Thus, in (5) and (6) above, we do not have two different nouns, but rather a single noun, *beer*, used in two different ways.

Unlike *beer*, nouns such as *dust* and *rice* only have mass uses (**dusts, *rices*). They refer to substances comprising very small, similar particles. We rarely have any need to focus upon particles individually, but if the need does arise, it is possible to satisfy it using count nouns such as *particle* (as in *particles of dust*) and *grain* (as in *several grains of rice*).

A plural noun can normally only carry a count interpretation. Exceptional cases are such invariable plurals as *winnings*, *dregs* and *remains*, which carry only a mass interpretation (thus you cannot ask **How many winnings did you receive?*). Whereas *prizes* is conceptualised as referring to a collection of individuated entities, *winnings* is conceptualised as a homogeneous quantity or substance. Some nouns, such as *furniture* and *information*, can only have a mass interpretation. These nouns have no plural counterparts and thus we can ask *How much furniture do you have?* but not **How many furnitures do you have?* This suggests that, at a certain level of conceptualisation, we are prepared in English to regard *furniture* as denoting a homogeneous quantity (when, in reality, we know that chairs, tables, sofas and so on are dissimilar).

The types of conceptualisation on which the count/mass distinction is based vary across languages. Consider as an example the following difference between English and Russian. In English, mass nouns may be used to refer to substances made up of small particles, such as *sand* and *grass*, but larger entities such as peas and potatoes are individuated and cannot be referred to by mass nouns (except in some cases where they are converted into a substance, as in *some mashed potato*). By contrast, in Russian, peas and potatoes are conceptualised as grouped into substances, and are referred to by singular mass nouns (*gorox* and *kartos´ka*). Count/mass distinctions may even vary from dialect to dialect within a single language: for instance, for many speakers in the USA, but not in the UK or Australia, *accommodation* can be used as a count noun (as in *We need to organise our accommodations*) as well as a mass noun.

With singular nouns, certain types of determinative are compatible with a count interpretation (*a, one, another, each, every, either* and *neither*), and others with a mass interpretation (*most, much, enough, little* and unstressed *some* or *any*). Thus, in the following table, *stone* in the left-hand column can refer only to the geological matter of which rocks consist (as in *Most stone is very hard*), and in the right-hand column only to a detached or individual piece of this matter (as in *He threw another stone into the pond*).

Mass	Count
most stone	*a stone*
much stone	*one stone*
enough stone	*another stone*
little stone	*each stone*
some stone	*every stone*
any stone	*either stone*
	neither stone

There is another subclass of common nouns whose members disrupt the regular patterns of agreement between a **singular noun** and a singular verb, called **collective nouns**. As the name suggests, these are nouns that refer to a collection of items or individuals. While collective nouns may normally be either singular or plural, what differentiates them from other types of nouns is that when they are grammatically singular, they may occur with a plural verb. For example:

*The staff **are** discontented*
*The team **have** decided not to play*

3.1.2   Case

A further inflectional distinction that applies systematically to common nouns is that of **genitive case** (or 'possessive' case). **Case** is a set of distinctions used in many of the world's languages for marking nouns or pronouns in such a way as to distinguish their grammatical/semantic functions (subject, object, possessor and so on). Common nouns in English have only two cases (an unmarked, neutral case that we call 'common case' and the genitive case). By contrast, most English

pronouns have separate forms for **nominative case** (characteristically associated with subjects), and **accusative case** (characteristically associated with objects). With common nouns, case intersects with number, as shown in the table below.

	Singular	**Plural**
Common	*cat*	*cats*
Genitive	*cat's*	*cats'*

The genitive is normally formed by adding *'s* to a singular noun; the apostrophe alone is added when the inflection is added to a plural noun ending in *s* (thus *the cats' tails,* but *the women's hats*). A further complication is that the simple apostrophe may also occur with certain singulars; specifically with singular proper nouns that end in the sound 'z' (e.g. *Jesus' teachings, Bill Jenkins' house*).

We prefer the term 'genitive' to 'possessive' because the latter may give rise to the misleading impression that the meaning expressed is always possession or ownership. While it may be true that this meaning is associated with the most central cases, the genitive case has a range of other semantic interpretations, including:

- 'duration' (e.g. *two years' work*)
- 'agency' (e.g. *Susan's victory*)
- 'type' (e.g. *a women's college*)
- 'attribute' (e.g. *Fiona's intelligence*).

The status of the genitive as an inflection is actually somewhat problematic, because the *'s* is sometimes attached at the end of an NP to an element other than the head noun. Compare:

the King's son
the King of Norway's son

In the first case the relationship of possession is indicated by means of a genitive case inflection on the head noun *King*, but in the second case by attaching the *'s* to the NP *the King of Norway.* Some

→

> →
> grammarians treat the *'s* in cases such as the second not as a case inflection but rather a clitic (see Chapter 2 for 'clitic'), others as a 'postposition'; that is, an element comparable to the preposition *of*, as in *of the King of Norway*, but differing from it in being attached at the end rather than the beginning of an NP. An implication of this treatment would be that common and proper nouns in English have no case inflection, only number inflection. However, we have opted for the more conservative treatment of *'s* as a genitive case inflection. Two reasons for this decision are that *'s* does not always attach to a full NP (as in *the captain's cabin*, where it is attached to *captain* but not *the captain*, and that the postpositional analysis would mean that an entirely different treatment was applied to common and proper nouns on the one hand, and to pronouns (where only an inflectional analysis is possible) on the other.

3.2   Proper Nouns

Proper nouns characteristically serve as proper names, that is, the formally conferred names of persons, places and institutions. The qualification 'characteristically' is necessary here because, in a sentence such as *I was referring to a different Jane*, the proper noun *Jane* is not serving as a proper name. Notice also that a proper name need not be, or need not contain, a proper noun; for instance, all the nouns in the following names are common nouns: *the Royal Opera House*, *the House of Commons*, *Glasgow Central*.

Proper nouns normally begin with a capital letter in writing, and when used as proper names generally have no plural form (**Janes*) and are incompatible with determiners (**the Jane*). Occasional exceptions occur, such as *the Alps*, which is both plural and requires a determiner.

3.3   Pronouns

Pronouns are treated as a separate primary class by many traditional grammarians. However, as the name suggests, they share features in common with other members of the noun class. They head NPs, which

in turn may serve such functions as subject and object, and may take dependents of the type taken by common nouns, albeit with limitations (e.g. *all* in *all these*; *who wishes to try again* in *anyone who wishes to try again*). It is for these reasons that we shall regard pronouns as a subclass of nouns, a treatment adopted in most modern grammars.

When traditional grammars speak of a pronoun being used 'in place of a noun', they are referring to one of two main uses of pronouns, which modern linguists describe as 'anaphoric' (the other being 'deictic': see below). **Anaphora**, which involves other classes as well as pronouns, occurs when an expression (the 'anaphor') depends for its interpretation on another expression (the 'antecedent') in the same text. Usually, the antecedent precedes the anaphor, as in:

> **Grey**, *by the way, assures me that* **he** *also knows when the school holidays have started* [E]

In certain cases, however, the antecedent may follow its anaphor, as in:

> *Before* **they** *go to bed* **the children** *always say a prayer*

However, there is another use of pronouns that is not covered by the traditional definition. In the following sentence, the pronouns *this* and *you* are not used anaphorically ('standing for' nouns), but rather **deictically**, that is, with reference to particular features of the context in which the utterance occurs (e.g. ***This is for you***). More specifically, *this* refers to some physical object in the context, and *you* refers to the addressee.

There are a number of subclasses of pronouns. Several of these – 'personal', 'possessive', 'reflexive' and 'reciprocal' pronouns – are distinguishable in that their members identify different categories of **person**, that is, different parties involved in the speech act (see below). We shall begin with these, and then consider those pronoun classes to which the category of person does not apply.

3.3.1   Personal, possessive, reflexive and reciprocal pronouns

The personal, possessive ('genitive') and reflexive pronouns of English, although they are usually presented in traditional accounts as separate classes, are inflectionally related, as shown in the table below.

	1st person		**2nd person**	**3rd person**			
	Sg	Pl	Sg/Pl	Sg			Pl
				Masc	Fem	Neuter	
Nominative	*I*	*we*	*you*	*he*	*she*	*it*	*they*
Accusative	*me*	*us*	*you*	*him*	*her*	*it*	*them*
Genitive							
weak	*my*	*our*	*your*	*his*	*her*	*its*	*their*
strong	*mine*	*ours*	*yours*	*his*	*hers*	*its*	*theirs*
Reflexive	*myself*	*ourselves*	*yourself/ yourselves*	*himself*	*herself*	*itself*	*themselves*

NB: Generic *one*, as in *One should always respect older family members*, is a peripheral member of the class.

First person forms characteristically refer to the speaker/writer or to a group of which the speaker/writer is a member, second person forms to the addressee(s) or a group including the addressee(s), and third person to people or others not involved in the speech act itself.

A distinctive property of **personal pronouns** is that they can occur in interrogative tags, as in:

The car hasn't broken down again, has it?
Aunt Mabel bakes lovely scones, doesn't she?

All the personal pronouns – except for *you* and *it*, as indicated in the table above – are inflected for either nominative case (sometimes called 'subjective case', because it is typically associated with the subject function) or accusative case (sometimes called 'objective case'). The terms 'subjective' and 'objective' are here avoided because they may imply that the two cases apply respectively to the subject and object functions only (when, in fact, this is not always the case; for instance, in *You can count on me being there,* the accusative *me* is the subject of the participial clause *me being there*).

English speakers vary in their selection of nominative and accusative pronoun forms in coordinative constructions of the type *The*
→

→

decision affects my wife and I/me. Some usage manuals insist on accusative forms, on the grounds that these would be selected in the absence of coordination (*The decision affects me*, not *The decision affects I*). However, this observation overlooks the fact that it is precisely in coordinative constructions that nominative pronouns may occur, so whatever forms are required in non-coordinative constructions is, strictly speaking, not relevant.

Finally, *he*, *she* and *it* are differentiated in terms of **gender**, a set of distinctions applying characteristically to females, males and inanimate entities (with exceptions occurring, as for example when a pet animal is referred to as *it*, or an automobile as *she*).

The lack of a gender-neutral singular pronoun to refer to humans in Modern English is problematical and has provoked much heated discussion. Consider what pronoun you would use to fill the slot in the following examples:

1. Anyone who thinks _____ can single-handedly change the system is naive.
2. The country needs a leader who will make this crisis _____ top priority.

Until fairly recently most people would probably have chosen, with the support of recommendations in prescriptive manuals, *he* in (1) and *his* in (2). However, there is increasing acceptance these days of *they* (*their* in (2)). Here, *they* is grammatically plural but interpreted as semantically singular (notice if we were to use the expression *be able to* instead of *can* in (1), we would select *are* rather than *is* as the appropriate form of the lexeme *be*). The problem of the conflict between plural form and singular meaning worries most people less than the misleading implication that would be generated by *he* and *his* that the sentence applies exclusively to males. A further alternative, the coordination *he or she* (*his or her* in (2)) can become cumbersome if repeated: *Anyone who thinks he or she can easily change his or her approach is naive.*

Possessive pronouns – personal pronouns in the genitive case – have two forms. The 'weak' forms (*my*, *our*, *your*, *his*, *her*, *its*, *their*) typically carry no stress and the only syntactic function they serve is as dependents (more specifically, determiners) in NP structure. They are sometimes not analysed as pronouns at all, but rather as determinatives (see Section 3.5). However, the fact that weak possessive pronouns function as determiners does not require us to classify them as determinatives: they show the same alternation between non-genitive and genitive case forms as common nouns. Compare:

> *She regretted John/John's leaving*
> *She regretted him/his leaving*

Accordingly, we shall regard them as belonging to the class of personal pronouns. Strictly speaking, they should be analysed as constituting genitive phrases (GPs) (consisting of a head only), which function as a determiner within an NP structure. However, for the sake of convenience, we shall simply analyse them as single words comparable to determinatives such as *the* and *two*.

Strong personal pronouns constitute NPs, which serve the characteristic NP functions of subject, object, predicative complement and PP-axis, as shown in the four examples below (the symbol 'Cx' in the last example stands for 'non-central complement': it is explained in Section 6.3):

$${}_{NP}^{S}({}_{Pn}^{H}\textbf{\textit{Mine}}) \textit{ is the red one} \qquad\qquad\qquad \text{(subject)}$$

$$\textit{They have chosen } {}_{NP}^{O}({}_{Pn}^{H}\textbf{\textit{yours}}) \qquad\qquad\qquad \text{(object)}$$

$$\textit{It is } {}_{NP}^{PC}({}_{Pn}^{H}\textbf{\textit{hers}}) \qquad\qquad \text{(predicative complement)}$$

$$\textit{It belongs } {}_{PP}^{Cx}({}_{Prep}^{Rel}\textit{with } {}_{NP}^{Ax}({}_{Pn}^{H}\textbf{\textit{hers}})) \qquad\qquad \text{(PP-axis)}$$

Compare the analysis of weak *my* and strong *mine* in the following labelled tree diagrams.

```
          Clause                              Clause
   ┌────────┼────────┐              ┌────────────┼────────────┐
 S:NP     P:VP     PC:NP          S:NP         P:VP         PC:NP
                 ┌────┴────┐
 H:Pn     H:Mv  Dr:Pn    H:N      H:Pn        H:Mv          H:Pn

  It        is    my     disk      It          is           mine
```
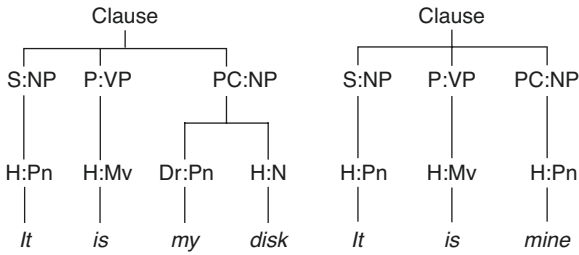
Reflexive pronouns in English are those personal pronoun compounds with *-self* (*myself, yourself* etc.) and *-selves* (*ourselves, themselves* etc.), which 'reflect' some other **coreferential** NP. They have two uses:

- 'emphatic' (e.g. *Paul himself walks to work*, where *himself*, which is said to be 'in apposition to' *Paul*, emphasises that Paul, as opposed to anyone else, walks to work)
- 'basic' (e.g. *Paul injured himself*, where *himself* has a different syntactic function from *Paul*, namely object. Even though *Paul* and *himself* both refer to the same person, they serve different grammatical roles).

In their basic use, reflexive pronouns contrast with non-reflexive personal pronouns. Compare the different meanings of:

1. *Paul injured himself*
2. *Paul injured him*

In (1) *himself* is anaphoric to *Paul*, but in (2) *him* is not anaphoric to *Paul*.

As noted above, the semantically singular use of *they* is widely accepted in English. The comparable use of *themself* as a reflexive pronoun with singular meaning (as in *Somebody has attempted to kill themself*) has not as yet gained the same degree of acceptance.

The **reciprocal pronouns** *each other* and *one another* are like reflexive pronouns, in that they must normally occur in the same clause as their antecedent (e.g. ***They** were criticising **one another***).

3.3.2   Other pronoun classes

The category of person does not apply to the remaining pronoun classes: demonstrative, interrogative/relative and indefinite. The **demonstrative pronouns** are *this* (which is normally used when the referent is close to the speaker) and *that* (which is normally used when the referent is further away from the speaker). Each has both a singular and plural form (*this*, *these*; *that*, *those*). *This* and *that* can also be determinatives: *that* is respectively pronoun and determinative in the following:

> *Look at **that!***   (pronoun)
> ***That** cat has caught a rabbit*   (determinative)

Interrogative and **relative pronouns** are described in more detail in the discussion of interrogative clauses (see Section 6.4.2) and relative clauses (see Section 7.3.3). They are *who*, *whom*, *whose*, *what*, *which* (plus their *-ever* compounds, such as *whoever* and *whatever*) and *that* (relative only).

The membership of the class of **indefinite pronouns** is difficult to determine, because many items can be analysed either as pronouns or determinatives. Consider:

> *If you can't find your shoes, I'll lend you **some***

Here, *some* would traditionally be regarded as a pronoun, but many contemporary grammarians would treat it as a determiner (with ellipsis of *shoes*). Similarly ambivalent are *any*, *many*, *several*, *much* and so on. The same problems do not apply to the indefinite compound pronouns formed with *one*, *thing* or *body* (e.g. *someone*, *nothing*, *everybody*), or to *none*, none of which can be determinatives (compare *I need something ~ I need some help*; *I have none ~ *I have none friends*).

We close this section with a summary of the various subclasses of nouns discussed thus far in this chapter, as shown in the table below.

Nouns		
Common	**Proper**	**Pronouns**
Count vs. mass		Personal
Collective vs. non-collective		Possessive
		Reflexive and reciprocal
		Demonstrative
		Interrogative and relative
		Indefinite

3.4   Noun Phrase Structure

Noun phrases (NPs), phrases with a noun as head, may or may not have dependents preceding the head and/or following the head. There are two types of 'pre-head' dependents: **determiners** (Dr) and **modifiers** (M); and three types of 'post-head' dependents: complements (C), modifiers (M) and peripheral dependents (PD). Peripheral dependents belong, as we shall see in Section 3.6, to the broader class of modifiers, sharing with them the property of optionality. NP dependents may be combined; in such cases the order will normally be as follows – before the head: determiners before modifiers; after the head: complements before modifiers before peripheral dependents:

Dr – M – H – C – M – PD

Some examples follow:

$\overset{\text{Dr}}{\underset{\text{Dv}}{a}}\ \overset{\text{M}}{\underset{\text{Adj}}{healthy}}\ \overset{\text{H}}{\underset{\text{N}}{pud}}$ [B]

$\overset{\text{M}}{\underset{\text{Adj}}{generous}}\ \overset{\text{H}}{\underset{\text{N}}{nods}}\ \overset{\text{C}}{\underset{\text{PP}}{of\ approval}}$ [C]

$\overset{\text{Dr}}{\underset{\text{Pn}}{its}}\ \overset{\text{M}}{\underset{\text{Adj}}{rich}}\ \overset{\text{M}}{\underset{\text{N}}{ruby}}\ \overset{\text{M}}{\underset{\text{N}}{plum}}\ \overset{\text{M}}{\underset{\text{N}}{colour}}$ [C]

$\overset{\text{Dr}}{\underset{\text{Pn}}{our}}\ \overset{\text{M}}{\underset{\text{Adj}}{old}}\ \overset{\text{H}}{\underset{\text{N}}{violinist,}}\ \overset{\text{PD}}{\underset{\text{N}}{Pip}}$ [F]

The different types of NP dependents listed here are discussed in more detail below.

3.5   Pre-head Dependents

The class of items that most frequently serves the **determiner** function is the determinatives. Other possibilities include possessive pronouns and genitive phrases (e.g. *your*, *my*; *a dog's*, *the French Department's*) and cardinal numerals (e.g. *one*, *three*, *twenty-five*): see list below.

An NP may have as many as three determiners. The most basic type, which are sometimes called '**central determiners**', may be preceded by another determiner (called a '**predeterminer**') and/or followed by another determiner (called a '**postdeterminer**'). The most common determiners belonging to the three subclasses are shown in the table below.

Predeterminers

determinatives: *all*, *both*, *such*, *what* (exclamative, as in *What a superb view!*)
numerical expressions: *double*, *ten times*, *twice*, etc.
fractions: *half*, *one-quarter*, etc.

Central determiners

determinatives:
  articles (*the*, *a/an*)
  demonstratives (*this*, *these*, *that*, *those*)
  quantifiers (*some*, *any*, *no*, *either*, *neither*, *another*, *each*, *enough*, *much*, *more*,
    most)
  interrogatives/relatives (*which*, *what*)
possessive pronouns: *her*, *our*, etc.
phrases:
  genitive phrases (*the captain's*, *my family's*, etc.)
  quantifying NPs (*a few*, *a little*)

Postdeterminers

cardinal numerals: *five*, *sixteen*, etc.
quantifiers: *every*, *little*, *few*, *many*, *several*, (*a*) *dozen*

We do not treat *her*, *our*, etc. as determinatives, but rather as (weak genitive) personal pronouns (see Section 3.3) on the grounds of the anaphoric function they share with the latter.

There are restrictions on how the various items here may combine. Compare the following acceptable and unacceptable NPs:

both the boys ~ **both some boys*
his every success ~ **that every success*

Items from a single subclass cannot normally combine (e.g. **a his car* is ungrammatical because *a* and *his* are both central determiners).

Sometimes, two NPs may look alike, but they will actually be quite different structurally. For example, notice the contrast between *these few pens* and *a few pens*. In the first case, the head noun *pens* is preceded by two dependents, namely the determiner *these* and the postdeterminer *few*. In the second case, there is only one dependent preceding the head, namely *a few*, a quantifying NP that functions as a single determiner (*a* could not be a separate determiner here because it cannot be a dependent of *pens*, as we see from the ungrammaticality of **a pens*).

A sequence of determiners such as *both the* and *his every* is to be distinguished from a determinative phrase consisting of a determinative as head and one or more dependents (e.g. *so many*, *very few*).

Two important categories associated with NPs, and typically expressed by determiners, are **definiteness** and **specificness**. The definite/indefinite distinction is most commonly expressed by the 'definite article' *the* and the 'indefinite article' *a*(*n*). *The* is used in NPs that 'define' a referent; that is, it indicates that the description in the NP is sufficient to enable us to identify the referent. By contrast, *a* indicates that the following description is not 'defining' in this sense. Thus, it would sound strange to say *a current Queen of England* rather than *the current Queen of England* because the description *current Queen of England* is all that is needed to identify the person in question. Normally, the context will enable us to identify the referent and thus will 'legitimise' the use of *the.* Consider the sequence:

> *A man and a woman had been seen earlier outside the bank. The man was carrying a dark leather briefcase.*

Here, the indefinite NP *a man* introduces a man into the discourse context. Having been introduced in this way, the man can subsequently be assumed by the speaker to be identifiable, and referred to by means of the definite NP *the man.*

The definite/indefinite distinction is independent of that between specific and non-specific NPs. Compare:

1. *John knows a good mechanic*
2. *John needs a good mechanic*

In both cases *a good mechanic* is indefinite, but there is a difference in specificness. In (1) we understand that there is a specific mechanic with whom John is acquainted or at least of whom he has some knowledge, but not in (2). There is generally a close correlation between non-specificness and indefiniteness.

Pre-head modifiers may be adjectives (most commonly), nouns, participles or GPs:

a ***heavy*** *saucepan* [B]	(adjective)
a ***university*** *degree* [D]	(noun)
the ***remaining*** *cream* [B]	(participle)
Elfland's *dream* [G]	(GP)

Theoretically, there is no grammatical limit to the number of pre-head modifiers that may occur in an NP:

>*an exquisite doll*
>*an exquisite old doll*
>*an exquisite old Russian doll*
>*an exquisite old Russian porcelain doll* (and so on)

Furthermore, there are restrictions on relative ordering:

>**a porcelain old exquisite Russian doll*

These restrictions are largely semantic rather than hard-and-fast grammatical rules. It is in this spirit that the following table is to be interpreted (as a general principle, or set of tendencies, rather than a grammatical rule). Notice that the two 'class' slots are filled by different parts of speech, the first by verb participles (Ven, past, Ving, present), the second either by nouns or by adjectives formed from nouns.

Ordering principles for pre-head modifiers in the NP

'General'	Size	Age	Colour	Class I (Ven/Ving)	Provenance	Class II (N/N→Adj)	Head
strange	*big*	*old*	*golden*	*floating*	*Chinese*	*seafood*	*restaurant*
nice	*small*	*young*	*pallid*	*accomplished*	*American*	*criminal*	*lawyer*

Whereas determiners are characteristically members of a closed class, which may mark such distinctions as definite/indefinite, singular/plural and count/mass, pre-head modifiers are characteristically from the open class of adjectives and have the semantic role of restricting the denotation of the head noun. So, for example, in *the ripe peach*, *ripe* restricts the denotation of *peach* to those members of the class of peaches that are ripe, whereas *the* serves not to restrict the denotation, but rather to indicate that the description *ripe peach* is sufficient to enable us to identify the particular piece of fruit to which the speaker is referring.

3.6   Post-head Dependents

Post-head dependents, as noted earlier, may be complements, modifiers or peripheral dependents.

Just as, in the case of clauses, **complements** are 'subcategorised' or 'controlled' by the verb, so complements in NPs are subcategorised by the noun functioning as the head. For example, there is a small class of nouns, including *idea*, *suggestion* and *hypothesis*, that subcategorise for a *that*-clause as their complement (as the following example shows, the nouns *notion*, *idea*, *suggestion* and *hypothesis* belong to this class, but not *girl*, *tree* and *concert*):

> the   notion/idea/suggestion/hypothesis/*girl/*tree/*concert   that   certain races are genetically superior

Post-head complements may belong to a number of classes. In the example above the complement is a noun clause. Also possible as post-head complements within the NP are prepositional phrases and infinitival clauses:

> $\overset{\text{Dr}}{\underset{\text{Dv}}{a}}$ $\overset{\text{M}}{\underset{\text{Adj}}{new}}$ $\overset{\text{H}}{\underset{\text{N}}{sense}}$ $\overset{\text{C}}{\underset{\text{PP}}{\textbf{\textit{of confidence}}}}$ [D]

> $\overset{\text{Dr}}{\underset{\text{Pn}}{his}}$ $\overset{\text{H}}{\underset{\text{N}}{decision}}$ $\overset{\text{C}}{\underset{\text{Cli}}{\textbf{\textit{to surrender}}}}$

Sometimes, complements in NP structure have parallels in clause structure. Compare the second example above with the clause *He decided to surrender*, where *to surrender* functions as an object complement.

Post-head modifiers differ from complements in that they do not rely for their occurrence upon the presence of a particular type of noun. Compare:

> *students* $\overset{\text{C}}{\underset{\text{PP}}{\textbf{\textit{of philosophy}}}}$ (complement)

> *students* $\overset{\text{M}}{\underset{\text{PP}}{\textbf{\textit{in taxis}}}}$ (modifier)

Student belongs to a small class of nouns that subcategorise for an *of*-PP (compare *collector of Australian paintings, advocate of capital punishment*). By contrast, the modifier *in taxis* in *students in taxis* is less closely tied to the head noun; potentially, it contrasts with a range of PPs expressing location:

> *students* **on bicycles**
> *students* **under the bridge**
> *students* **at a basketball match**

The modifier function in NP structure can be served by a range of different classes, including PP, relative clause, infinitival clause, participial clause and AdjP:

a warning $_{PP}^{M}$ ***for the present era*** [G]   (PP)

a society $_{RCI}^{M}$ ***that's increasingly reaching back to paganism*** [G]
                                                        (relative clause)

the strength $_{Cli}^{M}$ ***to tackle a gentle bushwalk*** [C]
                                                        (infinitival clause)

families $_{Cling}^{M}$ ***headed by less-educated workers*** [J]
                                                        (participial clause)

Finally, just as there is a subclass of adjuncts that we have called 'peripheral dependents', which are less closely integrated into the clause than the others, so within the structure of the NP we can identify a similar subclass of (post-head) modifiers, which we shall similarly refer to as **peripheral dependents**. As in the clause, so in the NP, peripheral dependents have a parenthetical character, being set off from the rest of the NP by a comma in writing or by a pause in speech. In the following example, a non-restrictive relative clause functions as a peripheral dependent:

$_{Dv}^{Dr}$ *the* $_{N}^{H}$ *car,* $_{RCI}^{PD}$ ***which Sue used to drive***

Sometimes, the two constituents separated by the comma are said to be in 'apposition'; that is, literally placed alongside (or 'apposed to') each other:

Purple Haze (which the Kronos Quartet had done) [F]
Dr Mike Grey, arachnologist [E]

Contrast the relationship of equivalence here between *Purple Haze* and *which the Kronos Quartet had done* and the quite different relationship – of modification – in *the song which the Kronos Quartet had done.*

3.7   Nominalisation

Nominalisation is a word-formation process that we shall take up in more detail in Part B, where we shall demonstrate its importance as a feature of writing that differentiates it from speech. The lexical morphological processes that are most relevant to the discussion are 'suffixation' and 'conversion', each of which is considered in turn below.

English has a large number of suffixes that may be attached to verb stems to form nouns. Some examples are: *restor**ation**, *encourage**ment**, *devot**ion**, *perform**ance**, *remov**al**, *wast**age** and *grow**th**. Similarly, nouns may be derived from adjectives, as in *happi**ness**, *likeli**hood**, *colloquial**ism**, *nobi**lity** and *diffi**culty**. Nouns may also be formed from more elementary nouns by suffixation, as in *martyr**dom**, *parent**age**, *saint**hood**, *alcohol**ism**, *companion**ship** and *slav**ery**.

The majority of nouns yielded via conversion derive from verbs, for example *attempt*, *move* and *push*, or adjectives, for example *intellectual* and *cold*.

In Chapter 10 we will pick up nominalisation in more detail, as a special feature of the written mode. As a preliminary exercise, underline all the nouns in the following sentence (from 'The Scope of Linguistics', Appendix K) that are likely to have been derived from a verb or an adjective. The answer is provided at the end of the exercises below.

The purpose of linguistics is to explain language, and explanation depends on some dissociation from the immediacy of experience.

Exercises

3a. Write out each of the nouns (and classify each one as common, proper, or pronoun) in the following two sentences from Appendix E:

Paxton believes that some Sydney newspaper editors exhibit their own behavioural changes that mark the arrival of summer. He says he counts summer as having started when he reads his first sensationalist, scaremongering shark attack article.

3b. In addition to the regular plural suffix in *-(e)s,* many nouns have irregular plural forms of various types. Provide three examples of the following types of irregular plural:

1. Plurals involving a change of vowel (e.g. *mouse ~ mice*)
2. Plurals ending in *-a* (e.g. *phenomenon ~ phenomena*)
3. Plurals with the same form as the singular (e.g. *sheep ~ sheep*)

3c. Consider the following nouns, whose singular and plural forms are identical. Group them into several separate subclasses that you can define via semantic criteria (What do they refer to?), and/or formal criteria (Do they have any distinctive formal features?).

Inuit, series, Taiwanese, Navaho, barracks, Inuit, tuna, Javanese, species, deer, Warlpiri, Maltese, bison

3d. Do the underlined nouns in the following sentences have a count (C) or mass (M) interpretation?

1. *Would you prefer tea or coffee?*
2. *I'll have a coffee please; with just a drop of milk and two sugars*
3. *Would you care for a cake?*
4. *No thanks, I'm watching my weight*

3e. Many nouns are able to act as both count nouns and mass nouns, each with a different meaning. For each of the following nouns, devise a pair of sentences that illustrate the difference between the count (C) and mass meanings (M): *hair, glass, lemonade, paper, weakness*

Example:
gold: Gold is a precious metal (M) *~ She has won yet another gold* (C)

3f. Are the underlined NPs in the following sentences definite (D) or indefinite (I)?

1. *Sue was the best player in both tournaments*
2. *Many spectators were injured in the collapse*
3. *Could you give me some help with my assignment?*
4. *Every exit has been sealed to prevent their escape*

3g. Select determiners, predeterminers and postdeterminers from the sets presented in the table on pp. 62–3 in order to form the following:

1. Three NPs with a combination of predeterminer + determiner
2. Three NPs with a combination of determiner + postdeterminer
3. Three NPs with a combination of predeterminer + determiner + postdeterminer

3h. The following NPs are ambiguous between a reading where:

A: The head noun is followed by two PPs
B: The head noun is followed by one PP (with another PP embedded in it)

1. *a purveyor of small goods from Turkey*
2. *the report of the train disaster on Friday*
3. *some photographs of the girls on the sofa*

Using the following example as a guide, provide two analyses for each phrase and explain the meaning associated with each analysis.

Example:
guardians of children with criminal records

A: *guardians* (*of children*) (*with criminal records*) – it is the guardians who have criminal records
B: *guardians* (*of children* (*with criminal records*)) – it is the children who have criminal records

3i. Construct NPs that conform to the following patterns:

1. (Pre)Dr:Dv   Dr:Dv   M:AdjP   H:N
2. M:N   H:N
3. M:AdjP   H:N   M:RCl
4. Dr:GP   (Post)Dr:Dv   H:N   M:PP

Example:
Dr:Dv	M:AdjP	H:N	M:RCl
that	*antique*	*clock*	*that I bought*

3j. Make a list of all the NPs in the first paragraph of 'Creature Features' (Appendix E), and underline the head word in each one. Remember that NPs may have other NPs embedded within them.

3k. Analyse the following NPs using labelled bracketing with both function and class labels. Do not analyse embedded phrases.

1. *the normally reclusive creatures* [E]
2. *a fatal loss of time* [G]
3. *classical string instruments* [F]

Example:

$\underset{Dv}{\overset{Dr}{}}((another \underset{Adj}{\overset{M}{}} fine \underset{N}{\overset{H}{}} example \underset{PP}{\overset{C}{}} (of\ his\ artistry))$

3l. Comment on the effect of e. e. cummings' unconventional use of the indefinite pronouns *anyone*, *someone*, *no one* and *everyone* in 'anyone lived in a pretty how town' (Appendix A).

3m. Discuss the use of complex NPs in Appendix E and comment on their communicative effect in this text.

Answer to the boxed exercise

The purpose of linguistics is to explain language, and <u>explanation</u> (from the verb *explain*) *depends on <u>dissociation</u>* (from the verb *dissociate*) *from the <u>immediacy</u>* (from the adjective *immediate*) *of <u>experience</u>* (from the verb *experience*, by conversion).

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4 Verbs and Verb Phrases

4.1 Verbs

With verbs, as with nouns, we find that there are subclasses that cut across the open–closed dichotomy. In the case of verbs, a distinction may be drawn between **main verbs** (sometimes called 'lexical verbs') and **auxiliary verbs** (or simply 'auxiliaries'). Main verbs have the distinctive property of functioning as the head of verb phrases (VPs), which in turn function as the predicator within the clause, and auxiliaries have the distinctive property of functioning as their dependents.

As we have noted in Chapter 2, it is the inflectional morphology of verbs that is their most distinctive feature. The six different inflectional categories that are associated with verb lexemes are distinguished below and illustrated for the verbs *dance*, *cut* and *eat*.

TENSED	PRESENT	3rd pers sg	[Vs]	*dances*	*cuts*	*eats*
		General ('other')	[Vo]	*dance*	*cut*	*eat*
	PAST		[Ved]	*danced*	*cut*	*ate*
NON-TENSED	INFINITIVE		[Vi]	*dance*	*cut*	*eat*
	PRESENT PARTICIPLE		[Ving]	*dancing*	*cutting*	*eating*
	PAST PARTICIPLE		[Ven]	*danced*	*cut*	*eaten*

The tensed forms are the most typical verb forms; they are to be found in almost all main clauses (except for imperatives). The non-tensed forms have a number of different uses, but they can be most easily recognised when they follow a tensed auxiliary (e.g. *may dance*, *was dancing*, *has danced*).

> Many grammars use the terms 'finite' and 'non-finite' instead of 'tensed' and 'non-tensed'. However, in this grammar, we shall contrast finiteness as a property of clauses, with **tense** as a property of verbs. It is certainly true that there is a close relationship between tense and finiteness, but it is not a one-for-one relationship. Thus, for example, the *that*-clause in *He demanded that the prisoners be released* is a finite clause even though it contains the non-tensed verb *be*. **Finite clauses** include all main clauses and those subordinate clauses that may take a nominative pronoun as the subject.

Regular verbs such as *enjoy*, *injure* and *nudge* have identical Ved and Ven forms ending in *-ed.* How then, in a given context, do we know if a given verb form is Ved or Ven? The answer is that we can use the following substitution test: substitute a verb that does have differing Ved and Ven forms. Compare, for example:

1. *They danced all night*
2. *They had danced all night*

In (1) we can confirm that *danced* is a Ved form and not a Ven form by comparing it with *They ate all night* (where *ate* could not be anything else but the Ved form of *eat*). By contrast, we can confirm that in (2) *danced* is a Ven form rather than a Ved by comparing it with *They had eaten all night* (where *eaten* could only be the Ven form). Some irregular verbs also have identical Ved and Ven forms, but these do not involve the *-ed* suffix (e.g. *cut* is the Ved form in *John cut the rope* and the Ven form in *John has cut the rope*).

All verbs in English have identical Vo and Vi forms except for *be* (which has *be* as its Vi form, and two Vo forms, *am* and *are*). It follows that *be* is the only verb that can be used as a substitute in cases where we may be in doubt as to whether a verb form is Vo or Vi. Consider *show* in:

1. *Show kindness to us*
2. *They show kindness to us*

We can provide some evidence that *show* is a Vi in (1) by noting its comparability with *Be kind to us* and that *show* is Vo in (2) by comparing it with *They are kind to us.*

4.1.1   Tensed verb forms

Let us now explain the differences between the three tensed and the three non-tensed inflectional forms of the verb. There are two present tense forms, the third person singular present (Vs) and the general present (Vo). The Vs form is required to agree with third person NP subjects such as *he*, *she*, *it*, *the road* and *my old aunt*, that is, those which are singular, with the exception of first person *I* and second person *you*. By contrast, the Vo form is required to agree with all **other** NP subjects – first person *I*, second person *you* and plural NPs.

A distinctive feature of auxiliary verbs is that they either have an irregular Vs form (in the case of **be**, **have** and **do**: see Section 4.2) or they lack a Vs form altogether (in the case of the modal auxiliaries: **cans*, **musts*, etc.).

The past tense form (Ved) results from the addition of the *-ed* suffix to the verb stem in the case of regular verbs (e.g. *walked*, *rolled*). In the case of irregular verbs there may be simply a change in stem vowel (e.g. *hung*, *took*) or a vowel change accompanied by suffixation (e.g. *caught*, *told*), or various other specific types of irregularity. These cases of irregularity can be subclassified into the following seven types:

- The Ved form is identical to the Vi form (e.g. *hit*, *cut*).
- The Ved form differs from the Vi form in the replacement of the final *-d* by *-t* (e.g. *built*, *sent*).
- The Ved form differs from the Vi form in the addition of *-t* (e.g. *learnt*, *spoilt*).
- A *-t* is added, as in the last category, but there is further modification of Vi (e.g. *felt*, *left*).
- A *-d* is added to the Vi form, which is further modified (e.g. *sold*, *heard*).
- The Ved form is formed with *-ought/-aught* (e.g. *thought*, *caught*).
- The Ved form is formed by sound change (e.g. *sang*, *came*).

4.1.2   Non-tensed verb forms

The second three inflectional verb categories are tenseless, in other words, their primary use is not to locate an event or state in time. Tenseless verb forms are used to accompany tensed verbs in most types of finite clause, or are used without an accompanying tensed form in non-finite clauses (see Section 7.4).

The **infinitive**, or 'base', form (Vi) is the same as the lexical stem. The infinitive has a number of uses:

- With auxiliary *do* or after a modal auxiliary in verb phrases:

  *Did you **finish** it?*
  *You didn't **finish** it*
  *We might **be** interrupted*

- In infinitival clauses, normally with the infinitival marker *to*:

  He wants to <u>leave</u>
  She helped us to <u>finish</u> it
  She helped us <u>finish</u> it

- In imperative clauses:

  ***Leave** immediately!*
  ***Be** careful!*

- As the present subjunctive:

  *It's important that they **be** notified*

The subjunctive lingers on in a small number of fixed expressions such as *God save the Queen* and *Long live the President*. More commonly, it is used in 'mandative' subordinate clauses of the type above (see Section 7.3.1), where they serve as a more formal alternative to clauses containing a tensed form of the verb (*It's important that they **are** notified*) or a VP with *should* (*It's important that they **should be** notified*).

The **present participle** (Ving) is always constructed by adding *-ing* to the stem. It actually covers two traditional forms, the present participle and the gerund. The main role that the present participle has to play is in the formation of the progressive aspect (see Section 4.3) used to express an activity 'in progress', as in:

  *They were **crying** uncontrollably*

The present participle may also function as a modifier in an NP structure, as in *He can't stand **crying** babies*, where *crying* modifies *babies* (compare *He can't stand noisy babies*).

The **gerund**, or 'verbal noun', is like a verb in its form and like a noun in its function:

>   ***Crying*** *won't help*

Crying is a Ving verbal form, but has affinities with a noun in so far as it functions as subject of the clause (compare *Tears won't help*). In Section 7.4 we shall see that *crying* in this example represents a highly reduced subordinate clause (consisting solely of the predicator).

The **past participle** (Ven) is the same as the past tense for regular verbs (and for most irregular verbs as well). The symbol 'Ven' reflects the fact that when a past participle is not identical to a past form, it generally carries the *-en* suffix, which in a small number of cases is spelt *-n* or *-ne* (e.g. *forgotten*, *blown*, *done*). There are some exceptional morphological patterns for past participles that differ from those that are either identical to a past tense form or carry the *-en* suffix, namely:

- Verbs with two past participial forms: one identical to the past tense form and the other with *-en* (e.g. *proved ~ proven*; *sowed ~ sown*; *gave ~ given*; *wrote ~ written*).
- The past participle is formed by adding the *-en* suffix to the Ved form (e.g. *broken*, *chosen*).
- The past participle differs from the Ved (and Vi) form in its vowel, with the following pattern for the three forms of such verbs: Vi vowel = *i*, Ved vowel = *a*, Ven vowel = *u* (e.g. *rung*, *swum*).

The past participle is used in the expression of the perfect aspect and the passive voice, as discussed further in Section 4.3:

>   *We have **eaten** all the cakes*   (perfect aspect)
>   *All the cakes have been **eaten***   (passive voice)

We finish this section by commenting on an apparent contradiction in our selection of terminology for the present and past participles. We have described the **participles** as 'non-tensed', and yet we have used the terms 'present' and 'past' to distinguish them. These terms in fact derive from the most characteristic uses of the participles, in constructions such as:

1. *Sue has made a sponge cake*
2. *Sue is making a sponge cake*

In (1), even though *has* is present tense, the participle *made* indicates that the making of the cake is located in past time. In (2) the making of the cake is located in present time. Note, however, that it is not the participles themselves that suggest this difference, but rather the total constructions. Consider:

Sue was making a sponge cake

Here, the making of the cake is certainly not located in the present but rather, as *was* indicates, in the past. We thus wish to retain the traditional terms on the grounds that they relate to the characteristic uses of the two forms, but at the same time insist that the forms are tenseless: there is no tense contrast between them. Rather, the meanings of the past and present participles have to do with such notions as, respectively, the completion or incompletion of a situation (Sections 4.3.3 and 4.3.4 will throw further light on this).

4.2   Auxiliary Verbs

Auxiliary verbs are a closed class consisting of two subclasses: the 'primary' auxiliaries *be*, *have* and *do*, and the 'modal' auxiliaries – often simply referred to as 'modals' – *can*, *may*, *will*, *shall*, *must*, *ought*, *need* and *dare.* The auxiliaries are so called because they always function as dependents of main verbs and have a similar role to that of verbal inflections in many languages, expressing verbal distinctions relating to tense, aspect, mood and voice. Therefore, auxiliaries cannot occur alone in a VP except in the special case of ellipsis. For example, *She will* is grammatically incomplete unless we understand it to be elliptical, as in:

She doesn't want to come with us, but I hope she will

An inflectional difference between auxiliaries and main verbs is that auxiliaries have negative tensed forms ending in *n't*, unlike main verbs. Thus, while forms such as **singn't* and **sailedn't* are impossible, we have negative auxiliaries such as *hadn't*, *can't* and *won't*.

The modal auxiliaries are further morphologically distinguished by their lack of tenseless forms (thus there is no **(to) may*, **maying*, or **mayen*) and, as noted in Section 4.1.1, by their lack of a Vs form (thus there is no **mays*).

In reduced registers it is the auxiliary verbs that tend to be omitted. Refer to Chapter 9 (minor sentences), Chapter 11 (headlines) and recipes, particularly Appendix B.

4.2.1   Auxiliaries and main verbs

Be, *have* and *do* belong not only to the class of primary auxiliaries, but also to that of main verbs. In the following three pairs they are respectively auxiliaries – in each case a dependent of the main verb – and main verbs.

Auxiliary	Main verb
John $_{VP}^{\,P}$ ($_{Aux}^{\,M}$ ***is*** $_{Mv}^{\,H}$ *watering*) *the garden*	*John* $_{VP}^{\,P}$ ($_{Mv}^{\,H}$ ***is***) *a keen gardener*
Sue $_{VP}^{\,P}$ ($_{Aux}^{\,M}$ ***has*** $_{Mv}^{\,H}$ *forgotten*) *her sunglasses*	*Sue* $_{VP}^{\,P}$ ($_{Mv}^{\,H}$ ***has***) *new sunglasses*
($_{Aux}^{\,M\text{-}}$ ***Do***) *they* $_{VP}^{\,P}$ ($_{Mv}^{\,\text{-}H}$ *enjoy*) *dancing?*	*They never* $_{VP}^{\,P}$ ($_{Mv}^{\,H}$ ***do***) *the dishes*

Ought, *need* and *dare* are borderline members of the class of modal auxiliaries: *ought* takes a *to*-infinitive (**We ought go*), while auxiliary *need* and *dare* are rarely used in contexts other than those which are interrogative or negative (e.g. *Need we go?/We need not go*, but not **We need go*). There are also the main verbs *need* and *dare* which, unlike their auxiliary counterparts, have a full set of inflections and take a *to*-infinitive (e.g. *He needs to go*; *Does he need to go?*).

   Be, *have* and *do* have exceptional Vs forms:

- The Vs form of *be* is not **bes*, but rather *is.*
- The Vs form of *have* is not **haves*, but rather *has.*
- The Vs form of *do*, namely *does*, has a pronunciation that is not reflected in the spelling – rhyming with *buzz* rather than *booze.*

The only other verb in English with an irregular Vs form is *say*: *says* rhymes, at least for most people, not with *phase*, as we might expect, but rather with *fez*.

4.2.2   Operators

Another important property of auxiliary verbs is their capacity to function as **operators**. They share this property with the main verb *be*, and also, for some speakers, the main verb *have* in its possessive meaning (as in *Has she enough money?*).

> The use of possessive *have* as an operator is more commonly found in British usage than it is in American or Australian usage.

Operators have a role in certain 'operations' that result in various non-basic clause constructions. These are exemplified in the following examples and discussed below:

1. *Mary **can't** sleep*
2. ***Can** Mary sleep?; Never **had** he seen such a sight!*
3. *Mary **CAN** swim*
4. *Tom cannot swim but Mary **can***

Negative contraction: Operators can be used to form negative clauses in which *not* is contracted and suffixed to the verb, as in (1) (compare **Mary sleepsn't*, whose ungrammaticality stems from the fact that the main verb *sleep* cannot function as an operator).

Inversion: Operators can be inverted with the subject in interrogative clauses and in some constructions which are largely restricted to formal literary use, as in (2) (compare the ungrammaticality of **Sleeps Mary?*; **Never saw he such a sight!*)

Emphatic polarity: Operators can be used to emphasise the positiveness or negativeness of an assertion, as in (3). Compare **Mary SWIMS*, which may be possible in some contexts, as in the contrastive statement *Mary SWIMS, but she doesn't JOG*, but which is not possible as an emphatic polarity statement (e.g. if a speaker wishes to disagree with someone's claim that *Mary doesn't swim*, they would say *She DOES* rather than *She SWIMS*).

Post-operator ellipsis: Operators can be used in constructions in which material is ellipsed directly following them, as in (4), where the main verb *swim* is ellipsed (compare **Tom doesn't like swimming but Mary*

likes, where *swimming* cannot be ellipsed after *likes* because *like* is not an operator).

   Do is sometimes called a 'dummy' operator because it is required if no other operator is present: it conveys no meaning, merely serving a syntactic requirement of English. For instance, since the verb *be* is always an operator, *do* is not required to form the interrogative of *John is unhappy*, namely *Is John unhappy?* However, *seem* is not an operator, so *do* is required to form the interrogative of *John seems unhappy*, namely *Does John seem unhappy?*

> Some grammarians do not draw the distinction that we do between auxiliary verbs (which we regard as dependents of main verbs that express tense, aspect, modality and voice), and operators (verbs that are used in the four 'operations' described above). In their analysis *be* and *have* in their operator uses are treated as auxiliaries.

4.3   Verb Phrase Structure and Meaning

The structure of the VP is similar to that of other phrases in that it comprises an obligatory head (a main verb) and optional dependents (auxiliaries). However, there are important differences between the VP and the phrases we have examined so far. The dependents in the VP must be selected from the class of auxiliaries, they are always pre-head and they occur in an absolutely fixed order. There are four linguistic categories – tense, modality, aspect and voice – which are expressed by the various components of the VP, and these are discussed below.

4.3.1   Tense

English has two tenses that are marked inflectionally in the verb. English does not have an inflectional future tense. Traditional grammarians treat VPs such as *will go* and *shall go* as representing the future tense. However, *will* and *shall* are not tense inflections, but rather modal auxiliaries.

Although *will* is regarded in traditional grammars as a future tense auxiliary, it belongs in the class of modal auxiliaries, both grammatically on account of its defective morphology and its use as an operator, and semantically on account of its expression of epistemic modality (see below for discussion of epistemic modality). This meaning is available whether *will* refers to a situation in the future, or present or past. Consider the effect of *will* in producing a less confident assertion in the following: *We leave/will leave next Friday*; *That is/will be our neighbour knocking on the door*; *They have/will have arrived in San Francisco*.

The use of *shall* with a first person subject to express a future prediction (as in *It is unlikely that I shall succeed*) is largely restricted to British English.

A VP allows one selection of tense, which is marked on the first (or only) verb; any subsequent verbs are non-tensed. Thus the VPs in the following clauses are all past tense VPs because *saw*, *had* and *would* are inflectionally marked as past:

*She **saw** an acupuncturist*
*She **had seen** an acupuncturist*
*She **would have seen** an acupuncturist*

By contrast, the VPs in the following clauses are all present tense VPs because *sees*, *has* and *will* are all inflectionally marked as present:

*She **sees** an acupuncturist*
*She **has seen** an acupuncturist*
*She **will have seen** an acupuncturist*

The terms 'present tense' and 'past tense' derive from their primary uses; namely to locate the activity or state described in the clause in present time in the case of the present tense, or in past time in the case of the past tense.

The **present tense** sometimes applies to activities that are largely simultaneous with the utterance (as in running commentaries), but more often it is applied to 'general' or 'habitual' situations that extend beyond the time of utterance, as in:

*Tom **owns** a mountain bike*
*She **walks** the dog every afternoon*

The present tense is not limited to referring solely to present time. It has secondary uses where it may refer to future time (albeit a future event that is grounded in a present schedule), as in:

*The train **leaves** at 7 o'clock*

The present tense may even refer to past events and situations (as in the 'historic present', used for narrative vividness):

*Yesterday this big guy **taps** me on the shoulder and **says** …*

The past tense is not only used for past time situations, but it also has several secondary uses. First, in indirect reported speech**,** the past tense may be used to report the content of the speaker's original words (as in the case of *owned* in (2) below), replacing the present tense that would be associated with 'direct speech' (as in the case of *own* in (1) below):

1. *Tom said, 'I **own** a mountain bike'*
2. *Tom said he **owned** a mountain bike*

Second, in certain types of subordinate clause, the past tense expresses 'factual remoteness'; for instance, the time of the owning in the following pair is distinguishable not in terms of time reference, but in terms of remoteness in reality.

3. *If Tom **owns** a mountain bike, we are in luck*
4. *If Tom **owned** a mountain bike, we'd be in luck*

In (3) above Tom's owning of the mountain bike is depicted as a more distant possibility than it is (4): the two sentences are not distinguishable in terms of present and past time.

4.3.2   Modality

The **modal auxiliaries** (or simply 'modals') are *can, may, will, shall, ought, need, dare* and *must*. The first four, *can, may, will* and *shall*, have past tense forms, namely *could, might, would* and *should*. Morphologically, these are

past tense forms. However, it is only occasionally that they are used to locate events in past time (as in *He **could** sing well when he was young*). More commonly, they are used to express factual remoteness (as in *I **would** come if I **could***) and polite deference (as in ***Might** I trouble you?*).

The relationship between *may* and *might* is not the same as that between *can* and *could* for all speakers of English. *Could* is clearly the past tense of *can*: if I report the utterance *Tom can complete the job*, *can* must be replaced by *could* (*I thought Tom *can/could complete the job*). However, some speakers, especially in Australia, allow *may* as well as *might* in reported speech, as in *I thought Tom may/might complete the job*, suggesting that for these speakers *might* is no longer the past tense of *may*, but rather a separate lexeme.

The modals express **modality**; that is, they 'qualify' a proposition in various ways. For example, the difference between the sentences in the following pair derives from the presence of modal *may* in (2), which suggests that the speaker is less certain about Carol's absence on vacation than is the case in (1):

1. *Carol is away on vacation*
2. *Carol **may** be away on vacation*

In the next pair of sentences we may compare the factual nature of (3) with the modal qualification (involving an obligation on Tom to perform the activity) in (4):

3. *Tom leaves on Tuesday*
4. *Tom **must** leave on Tuesday*

There are three types of modal meaning:

- *Epistemic modality* relates to the speaker's knowledge concerning a situation, as in (2) above and the following:

  *She **could/must/will** be in hospital*

- *Deontic modality* is concerned with permission, obligation, undertaking and so on, as in (4) above and the following:

  *You **must/should/may** try again*

> Some usage guides insist that the deontic use of *can* to express permission is incorrect, and that *may* should be used instead. However, the use of *can* to express permission, as well as ability, has been established in English for centuries. See Section 1.7.

- *Dynamic modality* is a less frequent type of modal meaning, which involves some attribute or characteristic of the subject-referent, such as ability or volition, as in:

  *Liz **can/won't** endure extreme pain*

If a modal auxiliary is selected in a VP, it must always be the first auxiliary (e.g. *Bill may have been lying*, but not **Bill has may been lying*) and the verb which follows it – whether it is an auxiliary or a main verb – must be in the Vi form (see further below).

4.3.3 Aspect

English has two **aspects** – perfect and progressive – which express contrasts that are in some ways similar to those expressed by the tense system. But, whereas tense is concerned with locating events and situations at particular points along a 'timeline', aspect is concerned with certain other temporal aspects of an event or situation, such as whether it is 'in progress' and whether or not it has been completed.

The **perfect aspect** characteristically involves a situation which results from the completion of an earlier event or state (the term 'perfect' is derived from the Latin word meaning 'completed'). This meaning is clearest with the so-called '**present perfect**', which involves the duration of a period of time that includes the present as well as the past, as in:

  *Where **have** you **been**?* [G]

Here, we would normally expect that the addressee has been absent for a period of time that extends up to and includes the time of utterance, and therefore that this absence has some relevance to the present moment. By contrast with the present perfect, the simple past (as in *Where **were** you?*) is concerned with an event or situation whose occurrence is exclusively in the past.

> Two contrary trends appear to be under way in contemporary English, which may suggest a blurring of the distinction between the present perfect and the simple past. One development, associated particularly with American English, involves the use of the simple past rather than the present perfect to refer to the current result of a past event (as in *She already did it*, rather than *She's already done it*). By contrast, in colloquial usage, particularly in Australia and New Zealand, the present perfect may be used rather than the simple past to refer to a recent past event (as in *And then he's hit her on the head*, rather than *And then he hit her on the head*).

The perfect aspect is expressed by the auxiliary *have* in conjunction with a following Ven form, be it a main verb or an auxiliary, as in:

*They***'ve played** *big crowds* [F]
Our fantasy **has emptied** *us of our capacity to love what's real* [G]
*They***'ve been** *playing big crowds*

The past perfect, expressed by a past form of *have* plus a following past participle, whether it is a main verb or an auxiliary, involves two 'doses' of pastness: one earlier than the time of utterance, and another even earlier than that. For instance, in *Hearst had accumulated huge debts by the time of his death*, the accumulation of Hearst's debts is understood to have begun before – and extended up to – the time of his death, which itself is prior to the time of utterance.

One final observation we must make is that the notion of 'completeness' cannot be applied to all instances of the perfect aspect. For example, a speaker who asserts that *Mary has been in Prague for three days* certainly implies that Mary's stay in Prague is relevant to the time of utterance, but not necessarily that it is complete at the time of utterance. Thus there would not be any semantic anomaly if the speaker were to continue by saying *So she has two more days left there.*

As the name suggests, the **progressive aspect** presents an event as being 'in progress': in other words, considered from a particular point in time, we would normally understand the event to have an earlier starting point and a later finishing point. Thus we are not attending to the complete time span of the event, merely a subinterval. With the present progressive, this subinterval will be the time of utterance, as in:

*So if you***'re looking** *for a better tertiary qualification* … [D]

In this case we would normally understand that the looking began earlier than the time of utterance and will continue into the future. The use of the progressive aspect thus enables us to focus on a point or period within the temporal totality of the event. The progressive aspect is expressed by the auxiliary *be* in conjunction with a following Ving form, as in:

> what we **are doing** to ourselves [F]
> *They **were speaking** to Loud reporter NM.* [F]

The past progressive differs from the present progressive in that the point in time during which the activity is presented as being in progress is located in the past rather than the present. For example, the past reference point in the following sentence is the speaker's Tuesday visit:

> *John **was repairing** his fence when I visited him last Tuesday*

Notice the contrast between this sentence, where the past progressive presents the repair as in progress at the time of the visit, and *John **repaired** his fence last Tuesday*, where the simple past is used to represent the activity in its totality in past time.

The perfect and progressive aspects can of course be combined, as in:

> *I'**ve been looking** for you for 200 years.* [G]

Here, the present perfect progressive combination suggests that over a period of time beginning before the time of utterance, and extending up to and including the time of utterance, the looking has been in progress, and that in all likelihood it will extend beyond the moment of utterance.

4.3.4   Passive voice

We shall discuss the passive voice only in part here, because the passive is a separate type of clause construction and is treated more fully in Chapter 8. It is relevant to note here that one feature of this construction is a VP containing the auxiliary *be* (or, typically in more informal usage, the verb *get*) in association with a following Ven form of a lexical verb, as in:

*There he **was met** by a lady.* [G]

The four structures we have described occur in a fixed order, as follows:

modal – perfect – progressive – passive

Tense is always marked on the first element, be it a modal, perfect *have*, progressive *be*, or passive *be*. An example containing all four structures is:

He might have been being interviewed

Notice that there is an 'interlocking' pattern here:

- the modal *might* is followed by the Vi form of the following verb *have*
- in turn *have* is used to express the perfect aspect in conjunction with the following Ven form *been*
- in turn *been* is used to express the progressive aspect in conjunction with the following Ving form *being*
- in turn *being* is used to express the passive voice in conjunction with the Ven form of the following verb *interviewed.*

Some further examples are:

has been defeated	(perfect aspect + passive voice)
will be leaving	(modality + progressive aspect)
must have been joking	(modality + perfect aspect + progressive aspect)
was being mauled	(progressive aspect + passive voice)

We will represent these structures as follows:

$$\underset{Perf}{\overset{Aux}{has}} \; \underset{Pass}{\overset{Aux}{been}} \; \underset{Mv}{\overset{H}{defeated}}$$

$$\underset{Mod}{\overset{Aux}{will}} \; \underset{Prog}{\overset{Aux}{be}} \; \underset{Mv}{\overset{H}{leaving}}$$

$$\underset{Mod}{\overset{Aux}{must}} \; \underset{Perf}{\overset{Aux}{have}} \; \underset{Prog}{\overset{Aux}{been}} \; \underset{Mv}{\overset{H}{joking}}$$

$$\underset{Prog}{\overset{Aux}{was}} \; \underset{Pass}{\overset{Aux}{being}} \; \underset{Mv}{\overset{H}{mauled}}$$

Exercises

4a. Identify all the verbs, both main verbs and auxiliaries, in the following two paragraphs from Appendix J:

The advantage to employers of having employees who need to pay off debts from purchases already made is that those employees will be more willing to work long hours when asked.

Even when workers are not paid overtime, they will often work long hours because of job insecurity. Such workers are keen to please employers so they will be kept on, or, in the case of temporary or casual workers, given future assignments.

4b. Give the six inflectional forms of the following verbs:

come, sing, forbid, fight, lay, put, buy

Example: *break*
Vs *breaks* Vo *break* Ved *broke* Vi *break* Ven *broken* Ving *breaking*

4c. Is the underlined verb in the following examples a past tense (Ved) form or a past participial (Ven) form?

Hint: Try substituting the forms of a verb that does not have identical Ved and Ven forms.

1. *If you <u>injured</u> him, he would be angry*
2. *If <u>injured</u>, he would be angry*
3. *Have you <u>injured</u> him again?*
4. *Have you been <u>injured</u> again?*
5. *Having <u>injured</u> him, you should apologise*

4d. Is the underlined verb in the following examples a base (Vi) form or a general present (Vo) form?

Hint: Try substituting the forms of a verb that does not have identical Vi and Vo forms.

1. *You should <u>leave</u>*
2. *When they <u>leave</u>, I will too*
3. *I demand that he <u>leave</u>*
4. *<u>Leave</u> straight away!*
5. *I understand that you <u>leave</u> early on Mondays*

4e. Identify each verb in the announcer's opening turn of the interview transcribed in Appendix F, and say which inflectional category it belongs to (Ved, Vs, Vo, Vi, Ven or Ving).

4f. There are several verbs in English that are sometimes used as operators, sometimes not. For example, *have* (expressing 'possession') is an operator in *He hasn't any equipment* and *Has he any equipment?*, but not an operator in *He doesn't have any equipment* and *Does he have any equipment?* Provide negative and interrogative examples to illustrate the operator and non-operator uses of the following verbs:

need, used (to), dare

4g. Comment on the different meanings associated with the progressive and non-progressive in the following pairs:

1. a. *Bill plays chess*
   b. *Bill is playing chess*

2. a. *The crowd pushed forward*
   b. *The crowd was pushing forward*

3. a. *I visit Grandma this Saturday*
   b. *I am visiting Grandma this Saturday*

4. a. *And here's a song they were doing early on in the piece.* [F]
   b. *And here's a song they did early on in the piece.*

4h. Comment on the different meanings associated with the perfect and non-perfect in the following pairs:

1. a. *France won the World Cup*
   b. *France has won the World Cup*

2. a. *He ruins everything*
   b. *He has ruined everything*

3. a. *It was a great summer*
   b. *It has been a great summer*

4. a. *But has this really turned out to be true?* [G]
   b. *But did this really turn out to be true?*

4i. The following sentences contain a modal auxiliary, which is ambiguous between an epistemic and a deontic interpretation. Explain the different meanings:

1. *Mary may visit him after lunch*
2. *He must have regular treatment*
3. *They should contact us soon*

4j. Identify the present participles in the following passage from Virginia Woolf's novel *To the Lighthouse*. What effect do you think Woolf is trying to create through her use of these participles?

> The sigh of all the seas breaking in measure round the isles soothed them; the night wrapped them; nothing broke their sleep, until, the birds beginning and the dawn weaving their thin voices in to its whiteness, a cart grinding, a dog somewhere barking, the sun lifted its curtains, broke the veil on their eyes, and Lily Briscoe stirring in her sleep. She clutched at her blankets as a faller clutches at the turf on the edge of the cliff.

4k. Discuss the use of verbs and VPs in Appendix G and comment on their communicative effect in this text.

4l. In Appendix H, John Donne's 'The Sun Rising', underline all the verbs and label them as Vo, Vi and so on. Then, separately for each stanza, make a list of all the VPs. Note that some VPs will be discontinuous, e.g. *dost … call* in stanza 1, lines 2 and 3. If a VP includes a modal auxiliary, state what kind of modality it represents.

The answers to this question are provided in Section 6.5 in a demonstration of how this poem builds up some of its meaning and impact through its choice of particular sentence types and modality. Perhaps you are beginning to see some patterns in your answers so far.

Note that, as Donne's poem was written in the early seventeenth century, it uses a verb form not present in contemporary English, namely the second person singular present. As the forms *dost*, *shouldst* and *leftst* no longer exist, we shall label them Vo for this exercise, because the Modern English form we would use in these instances would be Vo.

5 Adjectives, Adverbs, Prepositions and Associated Phrases

Having discussed the two most important word and phrase classes in Chapters 3 and 4, we will turn our attention in this chapter to the major remaining word and phrase classes: adjectives and adjective phrases (AdjPs), adverbs and adverb phrases (AdvPs), prepositions and prepositional phrases (PPs). Determinatives were discussed in Chapter 3 and we shall discuss subordinators and coordinators in Chapter 7.

5.1 Adjectives

The two most distinctive properties of adjectives in English are their characteristic functions and their characteristic gradability.

Adjectives function as the head of AdjPs. Most adjectives in turn have the two main functions referred to in Section 2.3.3 as 'attributive' and 'predicative'. Compare:

*A **large** dog attacked me*	(attributive)
*The dog was **large***	(predicative)

Attributive AdjPs function as (pre-)modifiers within NPs, whereas **predicative** AdjPs function as predicative complements within clauses.

The majority of adjectives are **gradable**, denoting properties that can be present in varying degrees. This property is indicated by the adjective's capacity to take degree expressions as dependents. Compare in this regard the gradable adjective *beautiful*, which is compatible with *quite*, *extremely* and *rather*, with the non-gradable adjective *forensic*, which is not compatible with these degree adverbs (see table below).

Gradable	Non-gradable
quite beautiful	*quite forensic
extremely beautiful	*extremely forensic
rather beautiful	*rather forensic

Non-gradable adjectives, such as *Australian*, *musical*, *parallel*, *metallic*, denote absolute rather than relative properties. However, we need to enter a caveat here: adjectives that are non-gradable in their central meaning quite commonly develop additional, figurative senses in which they are gradable. For example *Australian*, in its primary sense, has the categorical meaning 'of Australian nationality', but in its metaphorically extended sense, it means 'pertaining to the Australian stereotype', as in *He's very Australian.* The adjective *musical* is non-gradable in its primary meaning, as in *a musical instrument*, but gradable when applied to people, as in *She's very musical.*

A particular type of gradability is known as 'comparison'. Comparison is a property associated with many adjectives, including the most commonly occurring ones, expressed by the three separate inflectional forms known as **absolute**, **comparative** and **superlative**. The three forms for the adjective *tall* are exemplified in the following sentences:

1. *Sally is **tall*** (absolute)
2. *Sally is **taller** than Bill* (comparative)
3. *Sally is the **tallest** in the class* (superlative)

In (1) Sally is understood to be tall in an absolute sense, whereas in (2) she is located higher on a scale of tallness relative to Bill. In (3) Sally is located at the maximum end of the scale covered by the members of the class.

Some further examples are given in the table below. *Poor* and *strong* are inflectionally regular (their stems undergoing suffixation with *-er* and *-est* to form the comparative and superlative), whereas *good* and *bad* are irregular.

Absolute	poor	strong	good	bad
Comparative	poorer	stronger	better	worse
Superlative	poorest	strongest	best	worst

> Many adverbs (see Section 5.3) and some determinatives (see Section 3.5) are also gradable. The adverb *well*, like the adjective *good*, has *better* and *best* as its comparative and superlative forms. The adverb *badly*, like the adjective *bad*, has *worse* and *worse*. The determinatives *much* and *many* have *more* and *most*, and the determinative *little* has *less* and *least*.

   While the adjectives we have discussed thus far express the comparative and superlative degrees inflectionally, others do so 'analytically', that is, in conjunction with the degree adverbs *more* and *most* (e.g. *respectable*). With some adjectives there is a choice (e.g. *angry*), as shown in the table below.

Inflectional comparison	Analytic comparison
respectable	*respectable*
*respectabler	*more respectable*
*respectablest	*most respectable*
angry	*angry*
angrier	*more angry*
angriest	*most angry*

   As a postscript, we need to note that the boundary between adjectives and verbs is sometimes unclear. Many adjectives are formed from Ven and Ving forms. For instance, *disturbed* (below) is a past participle in both (1) and in (2), its passive counterpart. In both cases *disturbed* is the head verb in a VP:

   1. *Our dog had **disturbed** the prowler*
   2. *The prowler had been **disturbed** by our dog*

By contrast, *disturbed* is an adjective in (3) and (4):

   3. *He has a very **disturbed** look on his face*
   4. *He seems very **disturbed***

In both cases *disturbed* functions as the head of the AdjP *very disturbed*, in which its gradability is indicated by the modifier *very*. In turn, the

AdjP functions attributively in (3), predicatively in (4). Similarly, *reassuring* functions as a present participle in *He tried reassuring us*, but as an adjective in *He gave us a very reassuring smile* and *His smile was very reassuring.*

There are other cases where it is less clear whether we have an adjective or a verb. Consider (5):
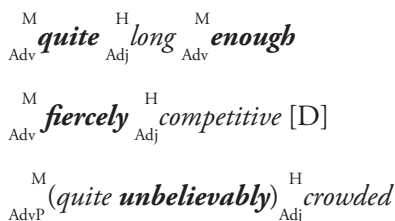
5. *Look at that **broken** vase*

Broken is ambivalent in status between verb (it could be modified by an adverb such as *recently* and is not gradable) and adjective (it can be used predicatively, as in *That vase is broken*).
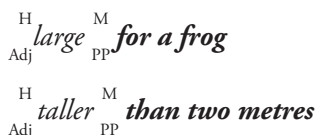
5.2 Adjective Phrase Structure

AdjPs have a simpler structure than NPs and VPs. An AdjP consists of an adjective alone or an adjective accompanied by one or more dependents. There are two types of dependents, modifiers and complements. As we have already noted, modifiers are always optional, while complements are controlled by the head word and are normally not omissible.

AdjP modifiers express degree. The most common type are adverbs (AdvPs, to be more accurate) which – apart from *enough* – precede the head:

$_{Adv}^{M}$***quite*** $_{Adj}^{H}$*long* $_{Adv}^{M}$***enough***

$_{Adv}^{M}$***fiercely*** $_{Adj}^{H}$*competitive* [D]

$_{AdvP}^{M}$(*quite* ***unbelievably***) $_{Adj}^{H}$*crowded*

Also found, though less commonly, are postmodifiers. These may be PPs:

$_{Adj}^{H}$*large* $_{PP}^{M}$***for a frog***

$_{Adj}^{H}$*taller* $_{PP}^{M}$***than two metres***

or clauses:

$\underset{\text{Adj}}{\overset{\text{H}}{better}} \underset{\text{CCl}}{\overset{\text{M}}{\textbf{\textit{than he thought}}}}$

$\underset{\text{Adv}}{\overset{\text{M}}{so}} \underset{\text{Adj}}{\overset{\text{H}}{enchanting}} \underset{\text{NCl}}{\overset{\text{M}}{\textbf{\textit{that he accepted her offer}}}}$ [G]

$\underset{\text{Adj}}{\overset{\text{H}}{fun}} \underset{\text{Cli}}{\overset{\text{M}}{\textbf{\textit{to play}}}}$ [F]

If an attributive AdjP, that is, one which functions within an NP struc-
ture, has a post-head modifier, that postmodifier will be separated from
the rest of the AdjP. For instance, the AdjP in the following example is
smaller … than he expected, consisting of the head *smaller* and the post-
modifier *than he expected* (a structurally more straightforward, but less
idiomatic version would be *a reward smaller than he expected*, where the
AdjP is no longer discontinuous). As noted earlier, we use a superscript
horizontal line to link discontinuous elements:

$\underset{\text{Dv}}{\overset{\text{Dr}}{a}} \underset{\text{AdjP}}{\overset{\text{M}}{(}}\underset{\text{Adj}}{\overset{\text{H-}}{\textbf{\textit{smaller}}}}) \underset{\text{N}}{\overset{\text{H}}{reward}} \underset{\text{CCl}}{\overset{\text{-M}}{}} [\,\textbf{\textit{than he expected}}\,]$

Complements in AdjPs are controlled by the head adjective. As the
following examples indicate, *angry* belongs to a class of adjectives that
select a noun clause as complement, *keen* selects an *on*-PP, and *afraid*
selects an *of*-PP:

$\underset{\text{Adj}}{\overset{\text{H}}{angry}} \underset{\text{NCl}}{\overset{\text{C}}{\textbf{\textit{that his shirt was stained}}}}$

$\underset{\text{Adj}}{\overset{\text{H}}{keen}} \underset{\text{PP}}{\overset{\text{C}}{\textbf{\textit{on skiing}}}}$

$\underset{\text{Adj}}{\overset{\text{H}}{afraid}} \underset{\text{PP}}{\overset{\text{C}}{\textbf{\textit{of the dark}}}}$

5.3   Adverbs

Adverbs form a somewhat heterogeneous word class. They typically
function as the head of AdvPs. In turn, AdvPs have several functions.
They may serve as adjuncts (referred to as 'adverbials' in many gram-
mars), modifying a VP:

He was driving $\underset{\text{AdvP}}{\overset{\text{A}}{\textbf{\textit{carelessly}}}}$

They may also function as modifiers, modifying an adjective within an AdjP or another adverb within an AdvP:

$_{AdvP}\overset{M}{\textit{\textbf{pretty}}}\,_{Adj}\overset{H}{\textit{meanly}}$ [F]

$_{AdvP}\overset{\textbf{M}}{\textit{\textbf{more}}}\,_{Adv}\overset{H}{\textit{often}}$ [F]

Finally, they may also function as peripheral dependents (see Section 2.6) modifying an entire clause, either by connecting it with what has preceded or by commenting upon it:

He drinks heavily; $_{AdvP}\overset{PD}{\textbf{nevertheless}}$*, he is in remarkably good health*

$_{AdvP}\overset{PD}{\textbf{Amazingly}}$*, no one was hurt*

Like adjectives, many adverbs are gradable. Comparison, however, is normally expressed analytically (e.g. *heavily*, *more heavily*, *most heavily*) rather than inflectionally (e.g. *slow*, *slower*, *slowest*; *hard*, *harder*, *hardest*).

Adverbs express various kinds of meaning, especially those adverbs that function as adjuncts. Among the most common types of meaning are:
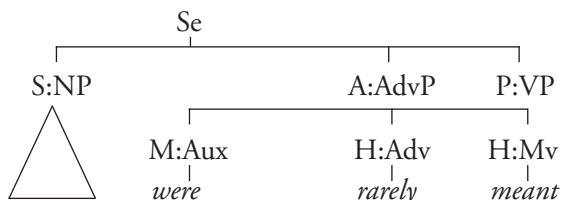
- manner (e.g. *carefully*, *leniently*, *well*)
- time (e.g. *now*, *afterwards*)
- place (e.g. *there*, *locally*)
- direction (e.g. *away*, *home*).

Adverbs that function as modifiers in AdjP or AdvP structure (e.g. *very*, *slightly*, *quite*) express degree. Adverbs that function as peripheral dependents either express a connection with what precedes or express an aspect of the speaker's attitude towards the content of the clause (as noted above).

Note that English appears to have a preference for placing adverbs 'inside' the VP. It is this very tendency that gives English its controversial 'split' infinitive. We must, however, resist the temptation to consider these AdvPs to be a constituent of the VP, whose only constituents can be either main or auxiliary verbs. Instead, we consider such a VP to be discontinuous, with the AdvP embedded within it.

→

→ Appendix G, 'Mysteries', Part C, has plenty of such examples, e.g. *were <u>rarely</u> meant*, *to be <u>more and more</u> preoccupied*, *have <u>always</u> insisted.* Below is a tree diagram of the first of these, demonstrating the discontinuity.

```
                        Se
        ┌────────────────┴──────────┬────────┐
      S:NP                        A:AdvP    P:VP
        △              ┌────────────┤        │
                     M:Aux       H:Adv     H:Mv
                     were        rarely    meant
```

5.4   Adverb Phrase Structure

AdvPs are headed by adverbs: apart from this, their structure is similar to that of AdjPs, with adverbs taking an even more limited range of dependents than adjectives. Both premodifiers and postmodifiers are possible:

$\underset{\text{Adv}}{\overset{\text{M}}{\textbf{\textit{very}}}} \; \underset{\text{Adv}}{\overset{\text{H}}{\textit{calmly}}} \; \underset{\text{PP}}{\overset{\text{M}}{\textbf{\textit{for someone in mortal danger}}}}$

$\underset{\text{Adv}}{\overset{\text{H}}{\textit{better}}} \; \underset{\text{CCl}}{\overset{\text{M}}{\textbf{\textit{than we had anticipated}}}}$

Not only are there very few adverbs that take complements, but the complements are always PPs, as in:

$\underset{\text{AdvP}}{\overset{\text{H}}{\textit{independently}}} \; \underset{\text{PP}}{\overset{\text{C}}{\textbf{\textit{of the rest}}}}$

Connective adverbs (*moreover*, *nevertheless*) do not allow dependents at all.

5.5   Prepositions and Prepositional Phrases

As we noted in Chapter 2, prepositions function as relators in prepositional phrases (PP). The axis slot in a PP is filled by a phrase, characteristically an NP, as in:

$\underset{\text{Prep}}{\overset{\text{Rel}}{on}} \ \underset{\text{NP}}{\overset{\text{Ax}}{}}(\textbf{\textit{the table}})$

$\underset{\text{Prep}}{\overset{\text{Rel}}{with}} \ \underset{\text{NP}}{\overset{\text{Ax}}{}}(\textbf{\textit{a smile}})$

Occasionally, however, the axis slot may be filled by an AdjP, or even another PP:

$\underset{\text{Prep}}{\overset{\text{Rel}}{as}} \ \underset{\text{Adjp}}{\overset{\text{Ax}}{}}(\textbf{\textit{inferior}})$ (as in *He regarded us as inferior*)

$\underset{\text{Prep}}{\overset{\text{Rel}}{from}} \ \underset{\text{PP}}{\overset{\text{Ax}}{}}(\textbf{\textit{under the bridge}})$

> An alternative analysis of PPs quite commonly found in contemporary grammars is that they are head-dependent phrases, with the preposition as head. Thus, it would be argued that, in a sentence such as *He lent it to his brother*, the justification for analysing *to* as the head of the PP *to his brother* would be that it (rather than the dependent *his brother*) determines the capacity of the PP to function as a complement of *lent*. However, if we were to accept this analysis of prepositions as the head of PPs, then they would be the only primary closed class to regularly have the head function. See also Section 2.4.3.

PPs serve a wide range of functions. Within the structure of the clause, they may serve the following functions:

Increase heat $\underset{\text{PP}}{\overset{\text{A}}{}}\textbf{\textit{to high}}$ [B] (adjunct)

[they] traded their Mendelssohn $\underset{\text{PP}}{\overset{\text{Cx}}{}}\textbf{\textit{for Metallica}}$ [F] (complement)

$\underset{\text{PP}}{\overset{\text{PD}}{}}\textbf{\textit{to our own surprise}}$ *we won* … [F] (peripheral-dependent)

$\underset{\text{PP}}{\overset{\text{S}}{}}\textbf{\textit{Under the mat}}$ *is the best spot* (subject)

In an NP structure, PPs may serve the following functions:

the vast increase $\underset{\text{PP}}{\overset{\text{C}}{}}\textbf{\textit{in funnel-webs}}$ [E] (complement)

a version $_{PP}^{M}$ **from the Austrian Tyrol** [G]   (modifier)

In an AdjP structure, they may serve as:

incompatible $_{PP}^{C}$ **with rock music** [F]   (complement)

faster $_{PP}^{M}$ **than Fiona**   (modifier)

In an AdvP structure, they may serve as:

regardless $_{PP}^{C}$ **of his influence**   (complement)

too slowly $_{PP}^{M}$ **for my liking**   (modifier)

In a PP structure, they may serve as:

$_{Prep}^{Rel}$ *out* $_{PP}^{Ax}$ **of our instruments** [F]   (axis)

The normal position for a preposition – as the etymological prefix 'pre-' suggests – is before the axis. However, this ordering is reversed in certain non-basic clause constructions. Consider:

1. *Where's the pen* $_{NP}^{Ax-}$(**which**) *I was writing* $_{Prep}^{-Rel}$**with?**

2. $_{NP}^{Ax-}$(**Which shop**) *are you going* $_{Prep}^{-Rel}$**to?**

3. $_{NP}^{Ax-}$(**The side-effects**) *were referred* $_{Prep}^{-Rel}$**to** *by both authors*

The PP in question in the relative clause in (1) is *with which.* In the interrogative in (2) it is *to which shop.* In the 'prepositional passive' in (3) it is *to the side-effects.*

Some prescriptive manuals and school textbooks continue to censure the use of sentence-final prepositions as in (1) and (2) above, despite the fact that they have been commonplace in English for centuries. See Section 1.7.

There is considerable overlap between the preposition, adverb and subordinator classes. For example, *past* is a preposition when it is used

with an axis phrase, as in (1) below, but an adverb when there is no axis and none is recoverable from the context, as in (2):

1. *He walked* $_{\text{PP}}^{\text{A}}(_{\text{Prep}}^{\text{Rel}}$ ***past*** $_{\text{NP}}^{\text{Ax}}(\textit{the bank}))$ (preposition)

2. *Just then John walked* $_{\text{AdvP}}^{\text{A}}$ ***past*** (adverb)

Similarly, *before* is a preposition when it combines with an NP-axis, as in (1) below, and a subordinator when it takes a clause-axis, as in (2):

1. *They left* $_{\text{PP}}^{\text{A}}(_{\text{Prep}}^{\text{Rel}}$ ***before*** $_{\text{NP}}^{\text{Ax}}(\textit{the speech}))$ (preposition)

2. *They left* $_{\text{ACl}}^{\text{A}}[_{\text{Subord}}^{\text{Rel}}$ ***before*** $_{\text{Cl}}^{\text{Ax}}[\textit{the speech began}]]$ (subordinator)

Many texts appear to use both adjectives and adverbs somewhat sparsely. Their chief means of packing a wealth of information in as few words as possible is by means of prepositional phrases. In fact, many style guides strongly recommend this strategy. In Appendix I, 'When Arnie speaks, there's no going back', there are only seven adjectives in the first half of the text. See if you can list them – and, no, *champion*, *body* and *core* in the first two sentences are all noun modifiers, not adjectives. The adjectives are: *uncertain*, *resolute*, *unchanging*, *defining*, *simple*, *political* and *devoid*. There are very few adverbs as well – in the same passage see *yet*, *again*, *always*, *well* and *simply*. What do you think is the effect of such a dominantly noun and verb distribution?

Exercises

5a. The following adjectives have uses where they are gradable and uses where they are non-gradable. Give an example to illustrate each use and comment on the difference in meaning in the two cases:

musical, *foreign*, *magnetic*, *abstract*, *odd*, *moral*

Example: *French*

She is a French woman (non-gradable: 'of French nationality')

She is very French (gradable: 'pertaining to the French stereotype')

5b. Which of the underlined adjectives are gradable?

a <u>total</u> stranger	*a <u>guilty</u> verdict*	*an <u>overweight</u> boxer*
a <u>sweet</u> victory	*a <u>mature</u> attitude*	*a <u>chemical</u> reaction*
an <u>African</u> safari	*a <u>positive</u> attitude*	*<u>sulphuric</u> acid*

5c. Are the underlined words adjectives or adverbs? Give one grammatical reason for each answer:

1. *He's not feeling <u>well</u>*
2. *Did you sleep <u>well</u>?*
3. *Have they been <u>well</u> behaved?*
4. *You have made it <u>hard</u>*

5d. Many adverbs end in '-*ly*', but some do not. For each '-*ly* adverb' in the following sentences, substitute a 'non -*ly* adverb' (there will inevitably be some change of meaning), and for each 'non -*ly* adverb' substitute an '-*ly* adverb':

1. *<u>Soon</u> he will be living <u>locally</u>*
2. *They live <u>apart</u>*
3. *She performed <u>meritoriously</u>*
4. *Tom walks <u>fast</u>*

5e. Identify all the adverbs and AdvPs in Appendix F, and classify them into semantic categories (Section 5.3 contains some suggested semantic categories for adverbs). Comment on the communicative effect of the adverbs and AdvPs in this text.

5f. Identify each relator in the following sentences and subclassify it as a preposition or subordinator:

1. *It will be the end of civilisation as we know it*
2. *Although he plays tennis, he doesn't watch it on the television*
3. *She will be upset if he leaves early*
4. *He claims that when he arrived the crowd was already restless*

5g. Replace each underlined AdvP with a PP, and each underlined PP with an AdvP. Inevitably, there will be some change of meaning.

1. *Moreover, he always drives at great speed*
2. *Honestly, you should do it on a regular basis*
3. *Rarely do they go there*

Example: *I have   never   liked living   on my own*

at no time   alone

5h. Are the underlined words in the following sentences prepositions or verbs?

1. a. *Following the track, we came to a beautiful lake*
   b. *Following the grand final, there will be a presentation*

2. a. *Considering his age, it would be a great honour*
   b. *We are considering the best course of action*

The embedding of prepositional phases and the resulting vertical complexity of the NPs is most clearly visually demonstrated by tree diagrams. A tree diagram of the first sentence of 'Creature Features' (Appendix E) is provided in Section 7.7.1.

5i. Identify every prepositional phrase (remembering that some PPs may have other PPs embedded within them) in the first paragraph of 'Creature Features' (Appendix E).

5j. According to prescriptive grammarians, the preposition *between* should be used with an axis-NP denoting a two-member set and *among* with an NP denoting a larger set. While this distinction may be valid for many cases (*I was hiding between/among the trees*), there are others where it is not (*There were rocks between/among the trees*). Here are some further examples that are problematical for the traditional distinction: *She has warts between/*among her fingers*; *We found it between/*among the back fence, the clothes line and the garden*; *I wandered *between/among the crowd*. Propose a revision of the prescriptive rule that satisfactorily accounts for such cases.

6 Clause Structure and Clause Type

In this chapter we revisit the clause after our preliminary overview in Chapter 2. We shall complete our discussion of the structure of basic clauses, and then introduce the concept of 'clause type'. The chapter concludes with a brief examination of negation in the clause.

6.1 The Structure of Basic Clauses

In Chapter 2 we introduced the functional categories of subject, object and predicative complement. There are actually two subtypes of object complement and of predicative complement.

> We also discussed adjuncts in Chapter 2. In so far as the selection of adjuncts is not governed by the predicator, and a clause may in principle contain any number of them, adjuncts are not pertinent to the discussion of basic clauses below.

The two kinds of object are the **direct object** (Od) – the type discussed above – and the **indirect object** (Oi). The names reflect a semantic difference:

- A direct object characteristically refers to a 'patient', someone or something directly affected by an event.
- An indirect object characteristically refers to a 'recipient' (one who receives something) or a 'beneficiary' (one on whose behalf an activity occurs). Recipients and beneficiaries participate less directly in events than do patients.

In both (1) and (2) below the coffee table is a patient, while Tom's wife is the recipient in (1) and beneficiary in (2):

1. *Tom gave* $_{\text{NP}}^{\text{Oi}}$ *his wife* $_{\text{NP}}^{\text{Od}}$ *a coffee table*

2. *Tom made* $_{\text{NP}}^{\text{Oi}}$ *his wife* $_{\text{NP}}^{\text{Od}}$ *a coffee table*

There are several syntactic differences between direct and indirect objects:

- The most obvious difference is positional: when a direct and an indirect object co-occur, the indirect object will, with very few exceptions (as in the British dialectal *He gave it me*), precede the direct object (as in (1) and (2) above).
- The indirect object can usually be replaced by a PP introduced by *to* or *for* (e.g. *He gave a coffee table **to his wife***; *He made a coffee table **for his wife***).

In some grammars the PPs here are treated as (indirect) objects. However, this classification is based on their semantic role and not on their grammatical function. If they were objects, we would expect that they could become subjects via passivisation. However, they cannot (**To his wife was given a coffee table*). They are, nevertheless, a type of complement, rather than adjunct, in so far as their occurrence is licensed by the verb. This type of complement, which we shall label Cx, is further discussed in Section 6.3.

The two types of **predicative complement** (PC) are **subjective** (PCs) and **objective** (PCo), as in:

1. *Dave was* $_{\text{AdjP}}^{\text{PCs}}$ *handsome* ~ $_{\text{NP}}^{\text{PCs}}$ *a genius*

2. *They considered Dave* $_{\text{AdjP}}^{\text{PCo}}$ *handsome* ~ $_{\text{NP}}^{\text{PCo}}$ *a genius*

Predicative complements serve to predicate attributes or properties: in the examples above, the attributes 'being handsome' and 'being a genius' are predicated of Dave. Thus a subjective predicative, as in (1) above, has the subject as its 'target', while an objective predicative, as in (2), has the object as its target. As these examples indicate, the relationship between a subject and corresponding subjective predicative is similar to that between an object and corresponding objective predicative

(sentence (2) could be paraphrased as *They considered (that) Dave was a genius*: notice that the subordinate clause here has the same form as the sentence in (1)).

In clauses with *be* as predicator, there is a further distinction to be made between two kinds of PC, 'attributive' and 'identifying'. Compare:

Mrs Williams is elderly/a grandmother   (attributive)
Mrs Williams is the culprit   (identifying)

Attributive predicative complements ascribe an attribute, and typically have the form of an AdjP (such as *elderly*) or a descriptive (non-referring) NP (such as *a grandmother*). **Identifying** predicative complements do not attribute properties, but rather identify the referent as the one matching a particular description. A feature of the identifying type is that the order of the two NPs can be reversed (*The culprit is Mrs Williams*), so that either can be the subject (before *be*) and either can be the PC (following *be*). By contrast, reversibility is not possible with the attributive type: **Elderly/a grandmother is Mrs Williams.*

6.2   Five Major Complementation Patterns

The various syntactic functions we have examined allow us to identify five major patterns of complementation in the English clause involving combinations of object complements and predicative complements, as presented in the table below. In Section 6.3 we shall examine some further types of complements that are neither objects nor predicatives.

Structural pattern	Name	Example
S P	Intransitive	*Tom sneezed*
S P Od	Monotransitive	*Tom greeted his friend*
S P PCs	Copulative	*Tom was happy/a dentist*
S P Oi Od	Ditransitive	*Tom gave his friend a surprise*
S P Od PCo	Complex-transitive	*Tom considered her brilliant/a genius*

The five names – **intransitive**, monotransitive, copulative, **ditransitive** and **complex-transitive** – are used with reference not just to clauses, but also to verbs; for example, the term 'ditransitive' may be applied both to the clause *Tom gave his friend a surprise* and to the way the verb *give* is used here as well. The term 'copulative' reflects the fact that in the S P PCs complementation pattern, the predicator is most commonly the copulative predicator *be* (see Section 2.6). Other verbs that may serve this role include *become* and *seem*. The term 'complex' in 'complex-transitive' refers to the presence of a PC: thus 'complex-transitive' means 'taking an object' ('transitive') plus taking a PC ('complex'). An alternative term that some grammarians have suggested for 'copulative' is therefore 'complex-intransitive', that is, 'taking no object but taking a PC'.

It is common for individual verbs to belong to more than one of the five classes. The verb *faint* is untypical in having only a single use (intransitive), as in:

They all fainted	(intransitive)

More typical are verbs such as *grow* and *find*, whose range of uses is given below:

He found a job	(monotransitive)
Please find me a job	(ditransitive)
They found him bigoted	transitive)
My assets are growing	(intransitive)
They grow sugarcane	(monotransitive)
She grew tired	(copulative)
He grew her some daffodils	(ditransitive)
He grew his pumpkins too large	(complex-transitive)

6.3   Non-central Types of Complement

In addition to objects and predicatives, there are a number of less central elements that are classified in a variety of different ways in English grammars, but which qualify as types of complements in terms of the criteria that we have used for identifying complements (subcategorisation and

non-omissibility). We shall label these as 'Cx' (and not attempt any more delicate classification as we did with the central complements). These are discussed in more detail below.

6.3.1   Locative and temporal complements

Locative and temporal expressions may function as complements (in addition to their more typical function as adjuncts). Compare:

1. ^{S}*Grandpa* ^{P}*is sleeping* ^{A}*on the sofa*
2. ^{S}*Grandpa* ^{P}*is* ^{Cx}*on the sofa*

In (1) the omissibility of the PP *on the sofa* (*Grandpa is sleeping* is an acceptable sentence) confirms that it is an adjunct, but in (2) *on the sofa* could not be omitted without producing ungrammaticality (**Grandpa is*), and thus is to be classified as a complement.

Consider another example:

^{A}*Every year* ^{S}*the concert* ^{P}*starts* ^{Cx}*at 8 p.m.*

Here, the first temporal expression, *every year*, can be regarded as an adjunct because it is less closely tied to the predicator *starts* than the second, *at 8 p.m.*, which we, accordingly, regard as a complement. Notice also that the first can be more readily omitted than the second (*The concert starts at 8 p.m.* is acceptable, but *Every year the concert starts* is of marginal acceptability).

Some grammarians classify non-central locative and temporal complements of the type discussed in this section as 'obligatory adjuncts'. However, given our definition of adjuncts as entirely optional elements (see Section 2.6), this definition is a contradiction in terms.

6.3.2   PP-complements of prepositional verbs

Verbs that have a use where they require a particular type of prepositional phrase as their complement are called 'prepositional verbs' (e.g. *apply **for x**, take **on x**, borrow x **from y**, force x **on** *y). Consider an example:

^{S}I ^{P}*'ve been looking* ^{Cx}*for you* ^{A}*for 200 years* [G]

Here, the first PP, *for you*, is a complement to the prepositional verb *look* (*for*). By contrast, the second PP, *for 200 years*, is an adjunct because it is less closely tied to the predicator *'ve been looking* and can be more readily omitted than the first (*I've been looking for you* is acceptable, but *I've been looking for 200 years* is of marginal acceptability).

> In our analysis of the sentence *I've been looking for you for 200 years*, the preposition *for* does not form a syntactic constituent with the predicator *'ve been looking*. We thus disagree with those grammarians who would analyse a sentence such as this as having an S P O structure, that is, *I* + *'ve been looking for* + *you*. Certainly, there is a close lexical bond between the verb *look* and the preposition *for* (together they mean something like 'seek'), and the lexical entry for *look* must certainly specify that this verb can take a *for*-phrase complement. However, from a syntactic point of view, the *for* does not belong with the verb, but rather with the following NP. Support for this claim comes from the fact that it is possible to insert an adjunct such as *desperately* between the two syntactic constituents *'ve been looking* and *for you*, yielding *I've been looking desperately for you*. However, we cannot insert *desperately* between *for* and *you*: the ungrammaticality of **I've been looking for desperately you* presumably results from the fact that *for you* is a unitary constituent which has been split by the insertion of the adjunct.

Prepositional verbs may be intransitive or transitive:

1. ^{S}*They* ^{P}*were speaking* ^{Cx}*to Loud reporter NM* [F]   (intransitive)
2. *And* ^{S}*she* ^{P}*took* ^{Od}*him* ^{Cx}*by the hand* [G]   (transitive)

In (1) there is a PP-complement but no object, while in (2) there is both an object-complement and a PP-complement.

6.3.3   Adverb-complements of phrasal verbs

Verbs that have a use where they require as their complement a particular type of adverb – mostly short, monosyllabic words such as *in*, *up*, *out* and *down* – are called **phrasal verbs**. Consider:

[S]*You* [P]*'re lying* [Cx]*down* [G]
[S]*Our Loud reporter, NM,* [P]*sought* [Cx]*out* [Od]*the band* [F]

> In classifying *in* and *out,* as they are used in such sentences, as adverbs (albeit adverbs which have derived historically from prepositions), we are adopting a traditional position. The fact that these items function as complements – entering into a close grammatical relationship with the verb – indicates that they are at best peripheral members of the adverb class. In modern grammars they are commonly referred to as 'particles'. It is to be further noted, however, that in speech we tend to stress those items that function as adverbial complements, in contradistinction to those that belong to the class of prepositions. This is in line with the general trend to give sentence stress to open class words, but not to closed class ones.

Like prepositional verbs, phrasal verbs may be either transitive or intransitive. Examples follow in the table below.

Intransitive	Transitive
[S]*about 6 bow hairs* [P]*will fly* [Cx]*off* [F]	[S]*a song* [P]*(to) close* [Od]*things* [Cx]*up* [G]
[S]*it* [P]*went* [Cx]*down* [A]*well* [F]	[S]*She* [P]*switched* [Od]*the light* [Cx]*off*

The majority of the adverbs we are discussing here form part of idioms – an idiom is an expression whose meaning is not directly inferable from the meanings of its parts, such as *give in*, *turn out* and *pull through*. Very often these idioms can be expressed in the form of a single word (such as *surrender* for *give in*, and *recover* for *pull through*).

We noted above that with prepositional verbs the preposition does not form a syntactic constituent with the verb. Similarly, with phrasal verbs the adverb does not belong syntactically with the verb. Thus, *turn out* and *give in* are not verbs as such, but they can be described as idioms – or more precisely as 'phrasal verb idioms' – because there's no reason to assume that an idiom will be a syntactic constituent.

Sometimes, there will be an apparent resemblance between a sentence with a transitive phrasal verb (that is, with a particle as complement plus an object complement, as in *Mary turned down the volume*) and a sentence with an intransitive prepositional verb (that is, with just a PP-complement, as in *Mary turned down the lane*). Compare:

1. $^S_{NP}$*Mary* $^P_{VP}$*turned* $^{Cx}_{Adv}$*down* $^{Od}_{NP}$*the volume*

2. $^S_{NP}$*Mary* $^P_{VP}$*turned* $^{Cx}_{PP}$*down the lane*

The analyses here reflect the syntactic differences between the two sentences. In (1) there are two complements following the verb, the adverb *down* and the object *the volume*, and, accordingly, their order can be reversed (*Mary turned the volume down*), but in (2) following the prepositional verb there is only one complement, whose constituents cannot be rearranged (**Mary turned the lane down*). Furthermore, because it is a single constituent, the PP *down the lane* in (2) can be moved (as in *Down the lane Mary turned*), but since *down the volume* in (1) is not a single constituent, it is not possible to move it (**Down the volume Mary turned*).

Finally, we may note the existence of **phrasal-prepositional verbs**, verbs that amalgamate the properties of both phrasal and prepositional verbs. For instance, *look down on*, as in *He looks down on ethnic minorities*, has the phrasal verb property of taking an adverb-complement (that is, *down*), and the prepositional verb property of taking a PP-complement (that is, *on ethnic minorities*). Here are two further examples:

$^S_{NP}$*it* $^P_{VP}$*does play* $^{Cx}_{Adv}$*around* $^{Cx}_{PP}$*with your technique* [F]

$^S_{NP}$*… that* $^{P-}_{VP-}$*'s* $^{A}_{Adv}$*increasingly* $^{-PCx}_{-VP}$*reaching* $^{Cx}_{Adv}$*back* $^{Cx}_{PP}$*to paganism* [G]

In recent years the use of phrasal verbs of all kinds appears to have been on the increase. To quote the language columnist Johnson: '*The New Yorker* **heads up** a committee … **beats up** on his wife … to **free up** his time' (*The Economist*, 27 March 1993). Letters to the editor in British and Australian newspapers often carry complaints

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against such innovations as *listen up*, *sign off* and *meet up*. The development reflects what is commonly called the 'informalisation' or 'colloquialisation' of modern English, and it is more common in America.

Here are some further examples, all from Appendix F:

Our Loud reporter, NM, **sought out** *the band*
*But it does … * **play around** *with your technique*
How do your instruments **stand up***?*
*About 6 bow hairs will … sort of … * **fly off**

And two more from Appendix K:

Language is so intricately and intimately **bound up** *with human life*
if you want to see the wood, you have to **get out** *of it.*

6.3.4   Non-finite complements of 'catenative' verbs

Non-finite clause complements often do not correspond neatly to any of the central complement types (object or predicative). Consider:

1. $_{NP}^{S}$ *Our plan* $_{VP}^{P}$ *is* $_{Cli}^{PCs}$ *to go soon*

2. $_{NP}^{S}$ *My watch* $_{VP}^{P}$ *has stopped* $_{Cli}^{Cx}$ *working*

3. $_{NP}^{S}$ *we* $_{VP}^{P}$ *decided* $_{Cli}^{Cx}$ *to play Purple Haze* [F]

While the construction in (1) is clearly copulative, with *to go soon* functioning as a predicative complement, the non-finites *working* in (2) and *to play Purple Haze* in (3) cannot be convincingly analysed as objects or predicatives. The latter are better treated as a special type of complement, catenative complements. They occur with **catenative verbs**, those such as *stop* and *want*, which have the capacity to 'chain' together, as in the following (rather cumbersome, but not ungrammatical) example:

Paul plans to try to stop getting me to keep helping him do his assignments

Within the chain, each catenative verb will be analysed as being followed by its own non-finite complement (plus, in some cases, an object complement). Thus, *helping* has two complements, *him + do his assignments*; *keep* has one complement, *helping him do his assignments*; *getting* has two complements, *me + to keep helping him do his assignments*; *stop* has one complement, *getting me to keep helping him do his assignments*; *try* has one complement, *to stop getting me to keep helping him do his assignments*; and *plans* has one complement, *to try to stop getting me to keep helping him do his assignments.*

Catenative complements may occur either alone or – as we have just seen – in combination with other complements. Here, there are several possibilities:

- object (as in *We instructed **Chris** to follow; I found **him** shoplifting; She had **it** repaired*)
- PP-complement (as in *She prevailed **upon him** to offer assistance; He yelled **at her** to leave*)
- adverb complement (as in *They kept **on** annoying us; She ruled **out** attending*).

For further discussion of the internal structure of the non-finite clauses whose function we are examining here, see Section 7.4.

Some grammarians treat sequences such as *stop getting* as single VPs. This analysis is problematical for several reasons. One is that such VPs have a structure that is quite different in kind from the head-dependent VP structures that we have described in Chapter 4. A second problem is that, as noted above, some catenatives occur in combination with various complements, which 'break the chain', as it were, making a single-VP analysis implausible.

6.4   Clause Type: Mood

It is now time to discuss the classification of clauses in terms of what is traditionally called **mood**. There are four moods, or main clause types, in English:

You are thoughtful	Declarative
Are you thoughtful?	Interrogative

Be thoughtful	Imperative
How thoughtful you are!	Exclamative

Declarative clauses are characteristically used to make statements, interrogative clauses to ask questions, imperative clauses to give orders, and exclamative clauses to make exclamations. Many grammarians group the declarative, interrogative and the exclamative as subcategories of the **indicative** mood. The indicative versus imperative contrast is then relatable to the main uses of human language: respectively to communicate information (by stating, asking, exclaiming and so on) and to act upon others (by ordering them and so on).

6.4.1   Declarative clauses

There is little that we need to say about the **declarative mood**. The declarative is the 'unmarked' clause type (as noted earlier in Section 2.5, it is a requirement of basic clauses that they be declarative) and we can analyse the other three clause types in terms of how they differ from it.

6.4.2   Interrogative clauses

There are two subclasses of **interrogative** clauses, closed and open.

Closed interrogatives are so named because the set of possible answers is closed. In fact, the answers are usually restricted to positive or negative, as in:

Q: *Have you found it?*
A: *Yes I have/No I haven't*

Hence the term 'yes/no question' is commonly used in grammars of English.

We have avoided the term 'yes/no question' for two reasons:

1. *Yes* and *no* are not always relevant answers (e.g. neither *yes* nor *no* would be an appropriate answer to the closed interrogative *Is she happy or sad?*).

→

> →
> 2. It is desirable to have two separate terms, one grammatical ('interrogative') and one semantic ('question'), since grammar and semantics quite frequently do not correspond where mood is concerned. For example, although, as noted above, closed interrogatives are characteristically used to ask questions, they may also be used to issue requests or to make exclamations:
>
> *Can you please help me?*   (request)
> *Haven't we had fun!*   (exclamation)

A closed interrogative is formed by placing the operator verb before the subject. As noted in Section 4.2, *do* is used in the absence of any other operator:

1. *Sue will find it difficult* → *Will Sue find it difficult?*
2. *Sue found it difficult*   → *Did Sue find it difficult?*

Open interrogatives are so named because the set of answers is, in principle, open. If I ask *Who found it difficult?,* the set of individuals who might represent 'values' for the 'variable' *who* is theoretically without limit (*Tom, Viv, your sister, Dr Smith* etc.). Open interrogatives contain one of the interrogative words *who, whom, which, whose, what, where, when, why* or *how,* some of which may occur in combination with other words, as in *To whom are you referring?* and *Whose idea was that?*). Open interrogatives are sometimes called 'wh-questions' in recognition of the fact they always include one of these 'wh-words' (but again we wish to be careful in distinguishing 'interrogative' as a syntactic term from 'question' as a semantic term). Wh-words may belong to a number of different parts of speech, such as:

- determinatives (*which, what* form an interrogative NP in combination with a head noun, as in *Which racquet can I borrow?*)
- pronouns (*who, whom, which, whose, what* form an interrogative NP alone as head, as in *What did you see?*)
- adverbs (*where, when, why, how,* as in *Why are you leaving?*).

Open interrogatives have two distinctive structural features:

- the appearance of a wh-interrogative phrase in initial position
- subject-operator inversion.

Compare the following with their declarative counterparts:

You have been somewhere   → *Where have you been?* [G]
She gave him someone's coat → *Whose coat did she give him?*
You did something   → *What did you do?*

One special type of closed interrogative is the **interrogative tag**, which has the structure of a closed interrogative clause with everything omitted except for the operator verb and the subject (always in the form of a personal pronoun). Normally, the tag will have the opposite polarity to that of the preceding clause, as in:

John found it in the garden, **didn't he***?*
John didn't find it in the garden, **did he***?*

If the tag has the same polarity as the preceding clause, it will have an emotive meaning (typically indicating disapproval):

John found it in the garden, **did he***?*

6.4.3   Imperative clauses

The **imperative** has three main distinguishing features.

First, it normally lacks a subject (understood to be *you*), as in:

Increase heat to high [B]
just call 13 19 01 today [D]

We say 'normally' here, because of the occasional occurrence of examples such as the following (which have *you* and *somebody* respectively as subjects):

You stand in front
Somebody stand in front

Notice that *You stand in front* is grammatically ambiguous (although one would expect the ambiguity to be resolved via intonation) between an imperative, used as a command, and a declarative,

used as a statement about where the addressee habitually stands. The ambiguity resides in the verb, which is a base Vi form in the imperative, but a tensed Vo form in the declarative. A third possible interpretation is as a standard subject-less imperative, with *you* functioning as a vocative (although, again, one would expect intonation to resolve this ambiguity). In written texts it is customary to resolve this ambiguity by separating the vocative from the rest of the sentence with a comma.

> The declarative *You stand in front* – with *stand* a Vo rather than Vi – could also be used as a directive meaning 'I'm requiring you to take up your normal position at the front'. It is common for speakers to mitigate the potentially confronting nature of directive speech acts by avoiding imperatives in favour of more indirect means of expression of this type. Even more indirect would be an interrogative such as *Why don't you stand in front?*

This brings us to the second distinctive feature of imperatives: the verb is always Vi. Thus, if the verb *be* is used in an imperative it takes the Vi form *be*, and not the Vo form *are*. Compare:

Be good
*Are good

Further proof that it is not the Vo form that occurs in imperatives is the fact that the verb does not contrast with the other tensed forms. Thus, if *have* were the present Vo form in *Have a rest*, then it should contrast with Vs *has* and Ved *had* (but it doesn't, as we see from the ungrammaticality of **Has a rest* and **Had a rest*).

The third distinguishing feature of imperatives is that they normally form their negatives with *don't* (e.g. *Don't leave them there*), or *do not* in more formal usage (e.g. *Do not be late*).

For first person inclusive ('you and I') imperatives, a special type of subject form, *let's*, is used, as in:

let's do it [F]
Let's have lunch

This *let* is different from the *let* (meaning 'permit') that is used in ordinary second person imperatives (e.g. *Let them go*). Notice that *Let us go* is ambiguous between a first person interpretation (where *let us* can be reduced to *let's*), and a second person interpretation (where *let us* cannot be reduced to *let's*: *Let's have lunch* can only mean 'I suggest we have lunch', and not 'Permit us to have lunch').

6.4.4   Exclamative clauses

Exclamative clauses are introduced by the determinative *what* or the degree adverb *how* (the latter normally only in formal style), as in:

1. *What a fantastic time/fantastic times we had!*
2. *How peaceful it is in this town!*

As the alternatives in (1) show, *what* takes *a* before the head noun of the exclamative phrase, if it is singular, but not if the noun is plural. Usually, the subject stays in its normal position before the predicator, but occasionally – normally only in formal literary style – subject-operator inversion occurs, as in:

How often have I yearned for a better life!

Occasionally in such cases ambiguity between an exclamative and an interrogative interpretation can occur, although in spoken language, they will be differentiated intonationally. For example:

What rich people live there

This clause could be exclamative ('How rich the people are who live there!') or interrogative ('Who are the rich people who live there?').

6.5   'The Sun Rising': A Text-based Demonstration

The following demonstration proposes that a text's selection of particular clause types and modality does much to contribute to the overall meaning of the text. John Donne was one of the chief exponents of the seventeenth-century English school of metaphysical poets, the main characteristics of whose poetry were highly intellectual conceits (intricate poetic devices), playfulness and wit.

Exercise 4l invited you to examine the VPs in John Donne's poem 'The Sun Rising' (Appendix H). The mood and modality selections in each of the poem's three stanzas show remarkable consistency and serve to develop its argument. (We will examine main clauses only, as subordination will not be discussed in detail until Chapter 7.)

In stanza 1 the first two sentences are in the interrogative mood (*Why dost thou … call, Must … run … ?*) and sentences 3, 4 and 5 are in the imperative mood (their predicators being respectively *go chide*, *go tell*, *call*). Sentence 2 contains a modal auxiliary expressing deontic meaning, *must*. The final couplet of stanza 1, however, has declaratives containing the simple present tense third person verbs *knows* and *are*.

Stanza 2 likewise opens with an interrogative sentence (*why shouldst thou think*?). The following sentences alternate between sentences in the declarative and imperative mood (the imperatives containing *look*, *tell* and *ask* as their predicators). This stanza is remarkable for the prevalence of modal verbs in virtually every sentence, except the final couplet. The modality here is dynamic (*I could eclipse and cloud … But that I would not lose …*). The final couplet, unlike the one in the first stanza, selects from future and past time schemes and the only instance of a modal verb in it, *shalt,* also strongly suggests a future event that is certain to take place.

It is in the third stanza that we see an even stronger patterning of mood selection. The most frequent mood selection here is declarative, with clauses containing present tense forms of the verb *be* as predicator (*is, 's, art*). Note that several instances of the same verb are important in their absence; that is, there is ellipsis of the underlined forms, in line 1 (*all princes I <u>am</u>*), line 4 (*all wealth <u>is</u> alchemy*), line 5 (*as happy as we <u>are</u>*), and the final line (*these walls <u>are</u> thy sphere*). All other clauses in this stanza are in the declarative mood as well: with present tense *asks*, emphatic *do play* as predicators.

To summarise: What then is the impact of the patterning emerging in the analysis above? The choice of imperative and interrogative clauses in the first section of the poem is strongly interactive and involving, and reinforces the sense of challenge thrown by the protagonist to the sun. The final couplets in the first two stanzas are, by contrast, declarative in mood (predicators: *knows*, *are*, *shalt hear*, *lay*) and the simple present tense asserts what the poet wishes us to believe to be 'eternal truths'. (In Section 4.3 we pointed out that the present tense is commonly applied to general/habitual situations. In combination with the verb *be* and the resulting copulative structure, this sense is intensified, and this is seen most clearly in the final stanza of this poem.) Donne's use of modals further reinforces this: *shouldst* adds a sense of challenge to an interrogative clause; *could*

and *would* express dynamic modality, underlying the poet's wilful and cheeky demonstration of his power over the sun (this kind of extended 'cheekiness' being characteristic of metaphysical poets like Donne). The future-referring *shalt hear* and the past *lay* again suggest the poet's sense of certainty in his assertions. But it is in the final stanza that Donne most confidently asserts his argument through his choice of the copulative construction with the third person singular present tense form of the verb *be*. The number of such constructions, as well as the even more strongly cohesive (see Chapter 9) ellipsis of this verb underlie what Donne argues to be the unassailable truth. His argument is now complete.

6.6   Negation in the Clause

It is important at the outset to draw a distinction between clausal negation (where the clause is syntactically negative, rather than positive), and subclausal negation (where the clause itself is syntactically positive, and yet contains a negative element within its structure).

> *Not* is assigned to a variety of word classes by traditional grammarians. In view of its positional mobility, we shall regard it as an adverb.

6.6.1   Clausal and subclausal negation

The most common and straightforward type of **clausal negation** is that involving 'verb negation' with *not* or *n't.* Compare:

1. *George has left*
2. *George has not/hasn't left*

3. *George left*
4. *George did not/didn't leave*

The positive clause in (1) is negated by inserting *not* after the operator *has*. The *not* may be contracted and attached to the operator, yielding the inflectional negative form *hasn't*. If the positive clause has no operator, as in (3), then dummy *do* is introduced as operator: again there is a choice between analytic negation (*did not*) and inflectional negation (*didn't*).

The two main tests for determining whether a clause is positive or negative are as follows:

1. *'Extending' clauses:* Positive clauses can be followed by elliptical 'extending' clauses with *so* or *too*:

   George has left and so has Martha
   George has left, and Martha has too

By contrast, negative clauses can be followed by elliptical extending clauses with *neither* or *nor*:

   George hasn't left, and neither has Martha
   George hasn't left, and nor has Martha

2. *Interrogative tags:* Positive clauses take negative tags:

   George has left, hasn't he?

   Negative clauses take positive tags:

   George hasn't left, has he?

Here, we are speaking only of 'neutral' tags: it is, of course, possible to say *George has left, has he?*, but here the tag, which carries the same polarity as the preceding clause, is emotively charged rather than neutral (as, for example, in a context where the speaker is aggressively challenging or badgering the addressee).

Clausal negation may also result from the presence of a morphologically negative word, such as *nothing*, *no one* or *never*, in the clause. For example:

   We saw nothing
   I will never go there again

These sentences pass the tests for clausal negation just as readily as their verb-negation counterparts with *not/n't* (namely *We didn't see anything* and *I won't ever go there again*):

   We saw nothing/didn't see anything, did we?   (positive tag)
   We saw nothing/didn't see anything, and neither did they   (*and neither* extension)

>*I will never/won't ever go there again, will I?*   (positive tag)
>*I will never/won't ever go there again, and neither will they* (*and neither*
>   extension)

Whereas words such as *nothing* and *never* are negative in both form and meaning, there are several words that are negative in meaning but not in form, including *few, little*; *rarely, seldom*; *barely, hardly, scarcely.* The fact that sentences such as *Bill hardly tries* and *They seldom attend* are negative is shown by the results of applying the negation tests:

>*Bill hardly tries, does he?*   (positive tag)
>*Bill hardly tries, and neither does his sister*   (and *neither* extension)
>*They seldom attend, do they?*   (positive tag)
>*They seldom attend, and neither does she*   (*and neither* extension)

Subclausal negation occurs when only a word or phrase, and not the entire clause, is negated, as in:

>*We had a not very successful workshop*
>*She had a major operation not long ago*

The fact that the negation here is subclausal (restricted respectively to the phrases *not very successful* and *not long ago*) – and that the clause itself is positive – is indicated by the results of applying the negation tests:

>*We had a not very successful workshop, didn't we?*   (negative tag)
>*We had a not very successful workshop, and so did they*   (*and so* extension)
>
>*She had a major operation not long ago, didn't she?*   (negative tag)
>*She had a major operation not long ago, and so did he*   (*and so* extension)

Another way of putting this is that in each case we have a positive proposition, the negation applying to some less central element, that is, 'We <u>had</u> a workshop (although it seems to have been a not very successful one)', and 'She <u>had</u> an operation (the timing being somewhat less important)'.

6.6.2   The scope of negation

An important consideration in interpreting clausal negation is the 'scope of negation'. Compare:

1. *Helga deliberately didn't make herself a nuisance*
2. *Helga didn't deliberately make herself a nuisance*

These differ with respect to which parts of the meaning over which the negative has influence, or 'scope'. In (1) *deliberately* falls outside the scope of the negation ('In a deliberate fashion, Helga didn't make herself a nuisance'), but in (2) *deliberately* falls within the scope of the negation ('It is not the case that Helga deliberately made herself a nuisance').

Scope interacts closely with 'focus' (the prominence that is indicated by the position of main stress). Compare the following, where focus is indicated by capital letters:

1. *I didn't WRITE it, because I was depressed*
2. *I didn't write it because I was DEPRESSED*

In (1) the *because*-clause is outside the scope of the negation ('Because I was depressed, I didn't write it'), but in (2) the *because*-clause is within the scope of the negation ('I wrote it, but not because I was depressed').

Modal auxiliaries may or may not fall within the scope of negation. Compare:

1. *You may not smoke in here*
2. *You may not feel comfortable in here*

In (1) *may*, expressing permission, falls within the scope of the negative ('It is not the case that you are permitted to smoke in here'), but in (2) *may*, expressing possibility, falls outside the scope of the negation ('It is possible that you will not feel comfortable in here').

In non-Standard English, negative words such as *nobody*, *nowhere* and *nothing* are used in clauses where Standard English would require the corresponding *any-* forms. Compare:

1. *I haven't seen nothing* [non-Standard]
2. *I haven't seen anything* [Standard]

Prescriptive manuals often condemn the double marking of the negation as in (1) as 'illogical'. However, this is to confuse logical

→

→

meaning and grammar. (1) and (2) both involve clausal negation and are semantically negative. The difference between them is that while the semantic negation in (2) is expressed by a single grammatical element, in (1) it is expressed by two negative elements. In this regard the grammatical principles of non-Standard English are the same as those found in many standard languages, such as French (where the single semantic negation in *Je n'ai vu rien* 'I haven't seen anything' is expressed by the two grammatical elements *n'* and *rien*).

Exercises

6a. The following sentences are ambiguous. Each one can be analysed as either ditransitive or complex-transitive. Explain the ambiguity, indicating which meaning is associated with which structural pattern:

1. *She found him a reliable guide*
2. *They will call her a doctor*
3. *They made him a model soldier*

6b. For each of the following verbs, say which of the five major complementation patterns it can enter into: intransitive, copulative, monotransitive, complex-transitive or ditransitive. Provide an example of each one:

bring, elect, seem, tell, drink, die

Example: *ask*

He keeps asking (intransitive); *He asks many questions* (monotransitive); *He asked me many questions* (ditransitive)

6c. In terms of transitivity, what is odd about the verbs *laugh*, *cry* and *sleep* in the poem 'anyone lived in a pretty how town' (Appendix A)? What is the effect of e. e. cummings' use of these verbs?

6d. The following sentences are analysed into their constituents. Classify each one according to its function, as: S, P, PCs, PCo, Oi, Od, Cx or A:

1. *We | occasionally | treated | them | as friends*
2. *They | sold | him | a house | yesterday | for one million dollars*
3. *He | makes me | angry*
4. *She | accused | them | of neglect*
5. *Henry | seemed | quite depressed | last week*
6. *I | told | my friends | that it was unfair*
7. *You | should take | on | some more work*
8. *I | wanted | to leave*

6e. The following pairs of sentences would normally be used with the same pragmatic or semantic force, but they belong to different clause types. Indicate the clause type in each case – declarative, interrogative, imperative or exclamative. Punctuation is deliberately omitted.

1. a. *What a mess you've made*
    b. *Haven't you made a mess*

2. a. *Will you help me*
    b. *Help me please*

3. a. *I would like to have a turn*
    b. *Let me have a turn*

6f. Is the underlined verb in the following sentences being used as a prepositional verb (that is, taking a PP as complement) or as a phrasal verb (that is, taking an adverb particle as a complement)?

1. *He <u>threw</u> out the rule book*
2. *We <u>applied</u> for a loan*
3. *Did he <u>take</u> off the discount?*
4. *Make sure you <u>follow</u> up every lead*
5. *She <u>referred</u> to our heroic efforts*
6. *He <u>called</u> out our names*
7. *They finally <u>gave</u> up all hope*
8. *They <u>blamed</u> us for the inconvenience*

6g. Convert the following declaratives into open interrogatives. In each case the indefinite *some* phrase will be converted into a *wh*-phrase and will be moved into initial position (unless it is already in initial position):

1. *Someone can help us*
2. *Phillip went to college somewhere*

3. *He said something was worrying him*
4. *The train leaves sometime*
5. *He is waiting for some bus*

Example: *Mary has seen something → What has Mary seen?*

6h. The following sentences are ambiguous between an interrogative and exclamative interpretation. Explain the different meanings of each sentence. Punctuation is deliberately omitted.

1. *What terrible music is played there*
2. *How often have I told you to behave yourself*

6i. Identify the clause type of each sentence in the recipe (Instructions 1–4 only) in Appendix B. Do the same for the army recruitment advertisement in Appendix D and for the 'Creature Features' article in Appendix E. How does the selection of clause types in each case help us to identify the type of text?

6j. Is the negation in the following examples clausal or subclausal?

1. *She went to a lot of trouble for nothing*
2. *no one recognised him except the old crone* [G]
3. *We tried not to look directly at the sun*
4. *we don't kind of make it austere* [F]
5. *Don't skimp on the cream and butter* [B]
6. *This is not a healthy pud* [B]
7. *you've probably just never been to see the Sydney band FourPlay* [F]
8. *Fairy stories like this were rarely meant for children* [G]

7 Subordination and Coordination

7.1 Sentences and Clauses

In modern grammars there tends to be more attention paid to the clause than to the sentence. This is mainly because it is very difficult to devise stringent principles for analysing spoken language into sentences (by contrast with written language, which traditional grammars have focused on in the past, where the beginning and ending of sentences is normally marked clearly by punctuation). Traditional grammars commonly define a sentence as the expression of a 'complete thought', but such a meaning-based definition suffers from the same type of circularity as the other meaning-based definitions that we criticised in Section 1.2: if a grammatical unit is a sentence, then it must express a complete thought, but we cannot know if a grammatical unit is expressing a complete thought unless we know in advance that it is a sentence. How could the traditional definition assist us, for example, in deciding how many sentences are involved in the following examples?

1. *But after a time the man grew homesick, and begged to be allowed to return to the outer world.* [G]
2. *But after a time the man grew homesick. He begged to be allowed to return to the outer world.*

The distinction here between (1) as containing one sentence, and (2) as containing two, is surely not made on the basis of how many 'thoughts' they express. Both (1) and (2) presumably express the same number of thoughts: how many sentences they contain is determined by considerations of grammar and punctuation.

7.2   Subordination and Coordination

Our focus in this chapter will be on the relationships of subordination and coordination within the sentence. So far, our focus has been on **main clauses**, those which can stand alone as a simple sentence and are not embedded within any larger clause. Main clauses are to be differentiated from **subordinate clauses**, which are embedded within a larger clause. Thus, *They enjoy the music* in (1) below is a main clause as it stands, but not in a sentence such as (2), where the clause *they enjoy the music* is embedded as the object of *think*. A sentence of the type in (2) is sometimes referred to as a **complex sentence**; that is, one containing a subordinate clause. A complex sentence is to be differentiated from a **compound sentence** – one containing two or more main clauses in a relationship of coordination, as in (3). A **simple sentence**, as in (1), is then one which is neither complex nor compound.

1. *They enjoy the music*   (simple)
2. *I think they enjoy the music*   (complex)
3. *A wind comes, and you hear this 'Mapooram'* [G]   (compound)

In a rigorous theoretical description it would probably be difficult to maintain the simple–complex distinction. Both simple sentences and complex sentences share the property of having a single main clause (in the case of complex sentences, a main clause with a subordinate clause embedded within its structure), by contrast with compound sentences, which have more than one main clause. From this perspective we have a two-way distinction rather than a three-way distinction: between 'clausal sentences' (with a single main clause) and 'compound sentences' (with more than one main clause). We have decided to follow the traditional tripartite classification on the grounds of its widespread familiarity.

The essential difference between the relationship of clausal subordination, as found in a complex sentence, and that of clausal coordination, as found in a compound sentence, is as follows:

- In subordination, the clauses are of unequal status, with the lower status clause being embedded within the structure of the other.

- In coordination, the clauses are of equal syntactic status, with neither being contained within the other.

This difference can be seen more clearly in tree diagram representations. (Triangles are used in these and subsequent diagrams to indicate that details that are not pertinent to the discussion have been omitted. Note also that we are using 'SCl' as a very general category: from Section 7.3 onwards we shall use more specific labels for different classes of subordinate clause.)

```
                        MCl
          ┌──────────┬───────────┐
       S:NP   P:VP           O:SCl
                              ╱╲
                             ╱  ╲
         I     think      they enjoy   the music

                        Se
          ┌──────────┬───────────┐
        MCl        Coord        MCl
        ╱╲                      ╱╲
       ╱  ╲                    ╱  ╲
    A  wind  comes,      and you hear this Mapooram
```
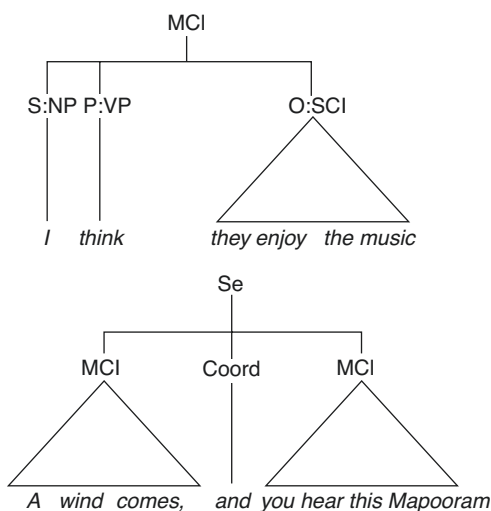
The clause within which a subordinate clause is embedded is said to be 'superordinate'. A superordinate clause may be a main clause (as in *I think they enjoy the music*), but it does not have to be. Consider:

They know I think they enjoy the music

Here, the subordinate clause *they enjoy the music* is an immediate constituent of the superordinate clause *I think they enjoy the music*, and this clause is, in turn, an immediate constituent of the superordinate (and main) clause *They know I think they enjoy the music*. Again, the relationships may be seen more clearly in a tree diagram.

```
                        MCl
          ┌──────────────┴───────────────────┐
      ┌───┴────┐                           O:SCl
   S:NP     P:VP                 ┌───────────┼───────────┐
                              S:NP        P:VP         O:SCl
                                                      ╱      ╲
                                                     ╱        ╲
                                                    ╱          ╲
    They     know               I           think  they enjoy the music
```
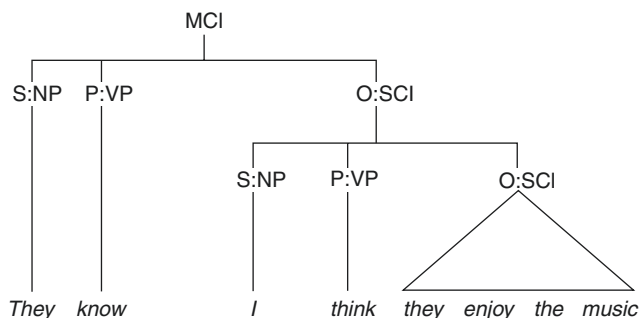
Notice that some subordinate clauses are not embedded directly as an element in the structure of a superordinate clause, but rather they are embedded indirectly (within one of the phrases of the superordinate clause). In the sentence *he forgot … the life he had left outside* [G], *he had left outside* is a subordinate clause because it is embedded within a larger structure. In this case, the larger structure is the NP *the life he had left outside*, which, in turn, functions as an element in the main clause. A tree diagram analysis is presented below.

```
                        MCl
          ┌──────────────┼───────────────────┐
      ┌───┴────┐                           O:NP
   S:NP     P:VP                 ┌───────────┼───────────┐
                              Dr:Dv       H:N          M:SCl
                                                      ╱      ╲
                                                     ╱        ╲
                                                    ╱          ╲
    he      forgot             the         life    he had left outside
```
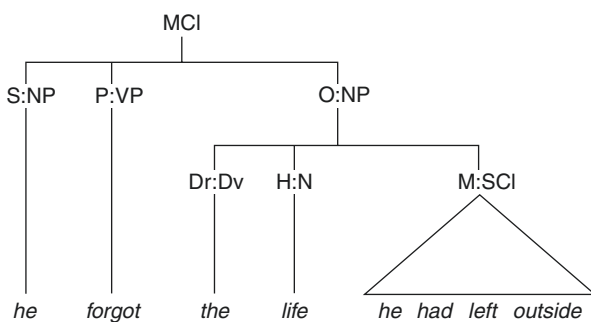
Finally, it may be noted that while compound sentences usually have a coordination of clauses with the clauses linked by *and, but, or etc.*, **asyndetic coordination** (that is, coordination that is 'unlinked') is also possible. For example:

The poorer they became, the more desperate they grew
She was favoured to win, wasn't she?

7.3   Subordinate Clauses

The reason why subordinate clauses typically cannot stand alone as sentences, in the way that main clauses can, is that they usually have some structural marking of their subordinate status. This may be:

- the presence of a subordinator (e.g. *that*, *although*, *if*, *because*)
- the presence of a relative word (e.g. *that*, *which*, *who*)
- non-finiteness (e.g. ***To stop now*** *would be premature*).

Not all subordinate clauses have such markers. The subordinate status *of they enjoy the music* in *I think they enjoy the music* is a by-product of its function as object of *think*: it is not structurally any different from the main clause *They enjoy the music*, and thus obviously could stand alone as a sentence.

We shall begin by examining four major classes of finite subordinate clauses – subordinate clauses that have the capacity to take, or have, a nominative pronoun as subject (see Section 4.1) and which can be subclassified as **noun clauses**, **adverbial clauses**, **relative clauses** and **comparative clauses** – before looking at non-finite subordinate clauses and the less important category of verbless clauses.

The four classes of finite subordinate clauses derive their names from their characteristic functions. Prototypical noun clauses are similar to NPs in their capacity to function as subject, object and complement; adverbial clauses function mainly, like AdvPs, as adjuncts; relative clauses characteristically function, like AdjPs, as modifiers in NP structure; and comparative clauses are similar to AdvPs and AdjPs, which function as degree modifiers.

7.3.1   Noun clauses

Noun clauses are similar in many ways to main clauses. Like main clauses they may be classified according to clause type:

I believe **(that) John is involved**	(declarative)
I don't know **whether/if John is involved**	(interrogative)
I realise **how involved John is**	(exclamative)

Declarative noun clauses are introduced by the subordinator *that*, which can sometimes be omitted, sometimes not, as can be seen from the

further examples below, which illustrate – but by no means exhaust – the range of functions that noun clauses may serve:

My belief is $_{\text{NCl}}^{\text{PCs}}$[***that John is involved***]   (predicative complement)

I am $_{\text{AdjP}}^{\text{PCs}}$($_{\text{Adj}}^{\text{H}}$*upset* $_{\text{NCl}}^{\text{Cx}}$[***that John is involved***])   (complement in AdjP)

I am $_{\text{AdjP}}^{\text{PCs}}$($_{\text{Adv}}^{\text{M}}$*so* $_{\text{Adj}}^{\text{H}}$*upset* $_{\text{NCl}}^{\text{M}}$ [***that I will resign***])   (modifier in AdjP)

$_{\text{NCl}}^{\text{S}}$[***That John is involved***] *surprises me*   (subject)

$_{\text{NP}}$($_{\text{Pn}}^{\text{Dr}}$*our* $_{\text{H}}^{\text{N}}$ *belief,* $_{\text{NCl}}^{\text{PD}}$ [***that John is involved***])   (peripheral dependent in NP)

$_{\text{NP}}$($_{\text{Pn}}^{\text{Dr}}$*our* $_{\text{H}}^{\text{N}}$*belief* $_{\text{NCl}}^{\text{C}}$[***that John is involved***])   (complement in NP)

Interrogative noun clauses differ from their main clause counterparts in two ways:
1. Subject-operator inversion normally only applies in the case of main clauses. Compare:

   1. *Why are my friends involved?*
   2. *I'd like to know* **why my friends are involved**

The interrogative main clause in (1) requires inversion of the subject *my friends* and the operator *are*, but not the subordinate interrogative clause in (2).
2. Closed interrogatives are introduced by *whether* or *if* when subordinate, but not when they are main clauses. Compare:

   1. *Is she unwell?*
   2. *I asked whether she was unwell*

With exclamatives, there is normally no difference between main and subordinate clauses. Compare:

   1. *What a genius she is!*
   2. *I know what a genius she is*

Note that there are no subordinate imperative clauses. Witness, for example, the ungrammaticality that results if we attempt to subordinate the imperative main clause *Be there!* as in:

*He demands that be there

The closest thing to a subordinate imperative construction is a clause with the so-called '**subjunctive**' use of *be* (in 'mandative' constructions involving verbs such as *order*, *demand* and *require*, and adjectives such as *important* and *desirable*) as in:

He demands/It is important that you be there

It may be more plausible, however, to treat these merely as a type of declarative, for the subject is not necessarily *you*:

He demands/It is important that $\begin{Bmatrix} they \\ she \\ John \end{Bmatrix}$ *be there*

7.3.2   Adverbial clauses

A characteristic feature of finite **adverbial clauses** is that they are introduced by subordinators such as *because*, *although*, *until* and *when*, whose function is that of relator (see Section 2.2 for discussion of relator-axis constructions). Two examples follow:

Carol hasn't visited the zoo $_{ACl}^{A}[_{Subord}^{Rel} since\ _{Cl}^{Ax}[she\ was\ a\ child\,]]$

$_{ACl}^{A}[_{Subord}^{Rel} If\ _{Cl}^{Ax}[\ you\ are\ willing,]]$ *I am able*

Finite adverbial clauses function as adjuncts, so we find that the meanings they express are similar to those listed for adjuncts in general (see Section 2.6). The major semantic categories are listed in the table below, along with an example of each.

Meaning	Example
Time	***When the snow melts*** *the water level will rise*
Place	*He travels* ***wherever he wants***
Reason	*They have applied to foster an orphan* ***because they cannot have children of their own***
Purpose	*They agreed to set out earlier* ***so that they would arrive home before dark***
Condition	***If the rules prohibit smoking***, *then you must obey them*
Concession	***Although John studied hard***, *he still failed the exam*

Some grammarians treat adverbial clauses, as we have discussed them here, as a type of prepositional phrase. This treatment is based on the undisputable fact that there are many members of the (adverbial) subordinator class, as we have defined it, such as *until* and *before*, that are also members of the preposition class. It follows, so the argument runs, that there is no principled reason for treating such words as a member of one class when they take a clause as complement, and of another when they take a phrase as complement. Consider the following analogy involving a different part of speech, the verb. We don't treat a verb such as *believe* as belonging to one part of speech when it takes a phrase as complement as in *I believe <u>in God</u>*, and another when it takes a clause as complement, as in *I believe <u>that God exists</u>*. Rather, we classify *believe* simply as a verb in both cases. Persuasive as this argument may be, we find it too different from the more traditional treatment that we have presented, in which adverbial clauses are distinguishable from prepositional phrases, to be appropriate in this book.

7.3.3   Relative clauses

Relative clauses are typically introduced by a relative pronoun with anaphoric reference:

Did you see $_{NP}^{Od}$($_{Dv}^{Dr}$ *the* $_{N}^{H}$ *car* $_{RCl}^{M}$[***which I bought yesterday?***])

Here, the interpretation of *which* derives from its antecedent *car*. It is this anaphoric relationship that lies behind the use of the term 'relative' (the relative pronoun 'relates' the relative clause to the antecedent expression).

The various relative pronouns differ with respect to the types of antecedents they allow. While the antecedents of *that* and *whose* are largely unrestricted, the antecedents of *who*(*m*) are normally human or human-like, and those of *which* are usually non-human. Finally, the antecedents of *when*, *where* and *why*, which are relative/interrogative adverbs, denote times, places and reasons respectively. Compare the following (antecedents underlined):

> *There's the <u>girl</u> **who/whom** I met yesterday*
> *There's the <u>girl</u> **that** I met yesterday*
> **There's the <u>girl</u> **which** I met yesterday*
>
> *There's the <u>car</u> **that** I saw yesterday*
> *There's the <u>car</u> **which** I saw yesterday*
> **There's the <u>car</u> **who** I saw yesterday*
>
> *There's the <u>girl</u> **whose** brother I met yesterday*
> *There's the <u>car</u> **whose** owner I met yesterday*
>
> *That's the <u>season</u> **when** you should plant seedlings*
> *That's the <u>place</u> **where** you should plant seedlings*
> *That's the <u>reason</u> **why** you should plant seedlings*

Most importantly, unlike subordinators, relative pronouns function as one of the functional elements of the clause:

$$\left({}_{Dv}^{Dr}\textit{the} \; {}_{N}^{H}\textit{bank} \; {}_{RCl}^{M}\big[\; {}_{NP}^{S}\textbf{\textit{that}} \; {}_{VP}^{P}\textit{has} \; {}_{NP}^{Od}\textit{the best interest rates}\big]\right)$$

$$\left({}_{Dv}^{Dr}\textit{the} \; {}_{N}^{H}\textit{key} \; {}_{RCl}^{M}\big[{}_{NP}^{Od}\textbf{\textit{which}} \; {}_{NP}^{S}\textit{I} \; {}_{VP}^{P}\textit{borrowed}\,\big]\right)$$

$$\left({}_{Dv}^{Dr}\textit{the} \; {}_{N}^{H}\textit{girl} \; {}_{RCl}^{M}\big[{}_{NP}^{Od}\big({}_{Pn}^{Dr}\textbf{\textit{whose}} \; {}_{N}^{H}\textit{father}\big) \; {}_{NP}^{S}\textit{I} \; {}_{VP}^{P}\textit{met}\big]\right)$$

$$\left({}_{Dv}^{Dr}\textit{the} \; {}_{N}^{H}\textit{year} \; {}_{RCl}^{M}\big[{}_{AdvP}^{A}\textbf{\textit{when}} \; {}_{NP}^{S}\textit{she} \; {}_{VP}^{P}\textit{graduated}\big]\right)$$

It is often grammatically allowable to omit the relative pronoun from a relative clause, the main exception being cases where the relative phrase functions as the subject. Thus, in the examples above, *which*, *who* and *when* could be omitted, but not *that* (if *that* were able to be omitted in the first example, there would be considerable scope for confusion between the NP, **the bank has the best interest rates*, and the clause of the same structure).

Relative pronouns may fill the axis slot in a prepositional phrase, and here there are several structural possibilities. Either the preposition may occur together with the axis-NP, as in (1) below, or it may be 'stranded' (left behind at the end of the clause), as in (2). If a preposition is stranded, then it is possible to omit the relative pronoun serving as axis, as in (3):

1. $(_{Dv}^{Dr}the \ _{N}^{H}woman \ _{RCl}^{M}[_{PP}^{A} \textbf{\textit{with whom}} \ _{NP}^{S}he \ _{VP}^{P}was \ dancing])$

2. $(_{Dv}^{Dr}the \ _{N}^{H}woman \ _{RCl}^{M}[_{PP}^{A} \textbf{\textit{whom}} \ _{NP}^{S}he \ _{VP}^{P}was \ dancing \ \textbf{\textit{with}}])$

3. $(_{Dv}^{Dr}the \ _{N}^{H}woman \ _{RCl}^{M}[_{PP}^{A} ( ) \ _{NP}^{S}he \ _{VP}^{P}was \ dancing \ \textbf{\textit{with}}])$

The prescriptive rule that one should not end a sentence with a preposition, thereby producing structures of the type in examples (2) and (3) above, has been discussed in Section 1.7.

There are two main types of relative clause, **restrictive** and **non-restrictive**, as exemplified respectively in:

1. $_{NP}^{S}(_{N}^{H}Children \ _{RCl}^{M}[\textbf{\textit{who are often naughty}}]) \ need \ discipline$

2. $_{NP}^{S}(_{N}^{H}Children, \ _{RCl}^{PD}[\textbf{\textit{who are often naughty,}}]) \ need \ discipline$

Non-restrictive relative clauses function as peripheral dependents (see Sections 2.6 and 3.4): in speech they are set off from the larger construction by means of a separate intonation contour, while in writing they are normally marked off by commas or a comparable form of punctuation. The information they express is presented as separate and secondary to that in the larger construction. By contrast, the

information in a **restrictive relative clause** is an integral part of the message conveyed by the larger construction. Thus, the restrictive relative clause exemplified in (1) above forms part of the description of the set of children being referred to; by contrast, the non-restrictive relative clause exemplified in (2) above simply gives extra information about the full set of children rather than defining a subset of children.

Non-restrictive relative clauses normally don't allow *that* as relative pronoun nor the omission of the relative pronoun. Compare:

> *The tree, **which I planted only two years ago,** is now taller than the house*
> *?The tree, **that I planted only two years ago,** is now taller than the house*
> **The tree, **I planted only two years ago,** is now taller than the house*

Another difference between restrictive and non-restrictive clauses is that if an antecedent is non-specific (e.g. *anything*, *no one*, *any animals*), then only a restrictive relative clause is possible:

> *Anyone who swears will have to pay a fine*   (restrictive)
> *?Anyone, who swears, will have to pay a fine*   (non-restrictive)

Conversely, non-restrictive relative clauses, but not restrictive relative clauses, may take a proper noun or an entire clause as antecedent. Compare:

> *Ray, **who had just joined the project,** felt that*
> *the pressure was too great*   (non-restrictive)
> **Ray **who had just joined the project** felt that*
> *the pressure was too great*   (restrictive)
> *United lost to Arsenal, **which surprised us all***   (non-restrictive)
> **United lost to Arsenal **which surprised us all***   (restrictive)

Some prescriptive manuals, especially American, claim that restrictive relative clauses should not begin with *which*, a claim that (or *which*!) has no basis in usage since restricted relatives with *which* have been widely used in all varieties of English for centuries.

One further type of relative clause needs to be mentioned, that which is commonly referred to as a **free relative clause** (sometimes also called a 'nominal' or 'fused' relative clause):

> *I know* **what you need**
> **Whoever thinks that** *must be crazy*
> *Put it* **wherever you can find a spot**

Here, the relative clause occurs 'freely' rather than being integrated into the structure of an NP. In the first example, *what* has, as it were, a dual function, which we can see more clearly by comparing this example with a sentence such as *I know* **the thing that** *you need. What* represents a 'fusion' of the NP *the thing* and the relative pronoun *that.* The major relative words occurring in free relative clauses are *what*, *where* and *when*, along with the *-ever* compounds *whatever, whoever, whichever, wherever* and *whenever.*

7.3.4   Comparative clauses

Comparative clauses are classified by many traditional grammars as a subclass of adverbial clauses, but they are quite distinctive structurally in that they always have a word or words missing, and are introduced by either of the subordinators *than* or *as.* Comparative clauses with *than* function as (post)modifiers of comparative adverbs, adjectives or determinatives. Some examples follow:

1. *She ran* $_{AdvP}^{A}($ $_{Adv}^{H}$ *faster* $_{CCl}^{M}$[***than we did***]) (modifier of the adverb *faster*)

2. *They had* $_{NP}^{O}($ $_{AdjP}^{M}($ $_{Adj}^{H\text{-}}$ *bigger*)$_{N}^{H}$ *slices* $_{CCl}^{\text{-}M}$[***than we were given***])

   (modifier of the adjective *bigger*)

3. *He now has* $_{NP}^{O}($ $_{DvP}^{M}($ $_{Dv}^{H\text{-}}$ *less*)$_{N}^{H}$ *money* $_{CCl}^{\text{-}M}$[***than he had as a teenager***])

   (modifier of the determinative *less*)

Comparative clauses with *as* typically postmodify an adjective or adverb:

4. *Sue is not* $_{AdjP}^{PCs}($ $_{Adv}^{M}$ *as* $_{Adj}^{H}$ *inept* $_{CCl}^{M}$[***as you may think***])   (modifier of the adjective *inept*)

Like serves as an informal alternative to *as* (as in *Children don't play outdoors like they did when I was young*) but it is frowned upon in some usage manuals.

In understanding what it is that is missing in comparative clauses, it is helpful to bear in mind that they express the standard of comparison in a relationship between two terms. Let us consider the four examples analysed above, using parentheses to indicate missing material: *She ran faster than we {ran fast to that degree}* (ellipsis of predicate); *They had bigger slices than we were given {slices that big}* (ellipsis of object); *He now has less money than he had {that much money} as a teenager* (ellipsis of object); *Sue is not as inept as you may think {that she is that inept}* (ellipsis of object of *think*).

Note that we need to use a makeshift expression such as 'x to some degree' or 'that x' (where x represents the property that is being compared) in order to target the nature of the comparison. For example, in (2) above, the comparison is between the size or 'bigness' of the slices that they had and the size or 'bigness' of the slices that we were given. We would be overlooking something if we were to suggest that the comparative clause here is simply *than we were given slices.*

Some prescriptive manuals claim that only nominative forms are appropriate where a pronoun is understood to be the subject of an elliptical comparative clause, as in *John is taller than I*. This claim is based on the traditional view that *than* can only be a subordinator. However, the accusative forms are more common (*John is taller than me*) in all but the most formal styles, and should therefore not be considered ungrammatical. Consequently, modern grammars accept *than* as belonging to both the subordinator and preposition classes.

7.4   Non-finite Clauses

Until now we have been focusing on finite subordinate clauses. There are three types of **non-finite clause**: infinitival (Cli) – either with the particle *to* or without; present participial (Cling); and past participial

(Clen). As the names suggest, infinitival clauses have a Vi as the first or only verb in their VP, present-participial clauses have a Ving, and past-participial clauses have a Ven:

1. *Bill didn't dare* $_{Cli}[\ _{VP}^{P}(\ _{Vi}^{H}\textbf{\textit{place}})\ _{NP}^{O}(\textbf{\textit{another bet}})]$ (infinitival: *place* = Vi)

2. *Bill didn't dare* $_{Cli}^{Cx}[\ _{VP}^{P}(\textbf{\textit{to}}\ _{Vi}^{H}\textbf{\textit{place}})\ _{NP}^{O}(\textbf{\textit{another bet}})]$ (infinitival: *place* = Vi)

3. *Cleo enjoys* $_{Cling}^{O}[\ _{VP}^{P}(\ _{Aux}^{M}\textbf{\textit{being}}\ _{Mv}^{H}\textbf{\textit{pampered}})]$ (pres participial: *place* = Ving)

4. *She had her toenails* $_{Clen}^{Cx}[\ _{VP}^{P}(\ _{Mv}^{H}\textbf{\textit{manicured}})]$ (past participial: *manicured* = Ven)

(1) and (2) represent respectively a 'bare' infinitival and a *to*-infinitival; (3) exemplifies a Cling, because the first verb of the VP is a Ving (it is irrelevant that the Mv *prepared* is a Ven); and (4) exemplifies a Clen.

> Some prescriptive manuals censure so-called 'split infinitives' – that is, *to*-infinitival clauses in which an adjunct intervenes between the *to* and the verb (as in *to carefully consider*) – on the grounds that the two items separated by the adjunct would be expressed as a single word in a language such as Latin. This argument is surely not pertinent to English, where the two items are clearly separate words, and there is no grammatical reason for requiring them to be adjacent. Moreover, there is a long tradition of 'splitting' infinitives in English, going back many centuries.

In many cases there is a close relationship between a non-finite clause and a finite subordinate clause, which has tempted some grammarians to apply to non-finite clauses the same classification as is used with finite subordinate clauses. Consider:

1. $_{NP}^{S}(\ _{Dv}^{Dr}\ The\ _{N}^{H}man\ _{Cling}^{M}[\textbf{\textit{selling tickets}}])$ *is my cousin*

2. *We planned* $_{Cli}^{O}[\textbf{\textit{to take a detour}}]$

The present-participial clause *selling tickets* in (1) would be treated as a relative clause functioning as a postmodifier of *man* (compare the finite relative clause *who is selling tickets*). Here there are certainly parallels between the finite and non-finite clauses, but in other cases they are less persuasive. For instance, in (2) the infinitival clause *to take a detour* would be treated as a noun clause functioning as object of *planned* (compare the finite clause *that we would take a detour*). Here there may be a functional similarity between the finite and non-finite clauses, but structurally the non-finite clause is not simply an elliptical version of the finite clause (it is closer to something like *that we would take a detour* than to *that we were to take a detour*). This is one of the reasons why it is necessary to distinguish between the class and function of subordinate clauses.

Even more problematical are cases such as those in *Bill didn't dare (to) place another bet* and *Cleo enjoys being pampered* above, where the infinitival and present-participial clauses appear not to have any finite clause counterparts (**Bill didn't dare that he should place another bet* and **Cleo enjoys that she is pampered* are of questionable grammaticality).

In view of these problems, we will not attempt to force non-finite clauses into the same classificatory mould, that is, NCl, RCl, ACl and CCl, as finite clauses, but simply classify them along two dimensions:

- formal: infinitival, present participial or past participial
- functional: subject, object, predicative complement, catenative complement, modifier, adjunct or peripheral-dependent.

Some examples follow, with abbreviations representing the functional and formal classification of the non-finite clause:

$^{S}_{Cling}$[***Painting this room***] *has exhausted all my energy*

$^{S}_{NP}$($^{Dr}_{Dv}$ *The* $^{M}_{Adj}$ *first* $^{H}_{N}$ *person* $^{M}_{Cli}$[***to climb Mt Everest***]) *was Hilary*

$^{A}_{Clen}$[***If called upon,***] *you must work overtime*

He wants $^{O}_{Cli}$[***to do it by himself***]

There's nothing he likes $^{A}_{AdvP}$($^{H}_{Adv}$ *more* $^{M}_{Cling}$[***than winning***])

I have found $^{Od}_{NP}$($^{Dr}_{Dv}$ *some* $^{H}_{N}$ *funds* $^{M}_{Cli}$[***with which to purchase it***])

We turn finally in this section to a problematical issue. There has been much debate in linguistic circles about the status of NPs that may occur between catenative verbs and their non-finite clausal complements. Compare:

> *Tom instructed **Sue** to prepare the submission*
> *Tom intended **Sue** to prepare the submission*

The issue here is: what is the status of *Sue*? Is *Sue* the object of *instructed/intended* in the superordinate clause, or the subject of *prepare* in the non-finite subordinate clause? It may appear from a semantic point of view that we need to give different answers for the two sentences. With *instruct* there is a direct semantic relationship between the verb and the object (Sue is the one to whom the instruction is given), whereas with *intend* there is no such semantic relationship (it is not that Sue is the one to whom an intention is addressed, but rather that Tom has a certain attitude towards the event of Sue's preparing a submission). But is this difference supported by grammatical evidence? At first sight it would seem so. The two sentences respond differently to passivisation. Compare the results if we apply passivisation to the main clause (*Sue* can become the subject of the main clause via passivisation with *instruct* but not *intend*):

> *Sue was instructed by Tom to prepare the submission*
> **Sue was intended by Tom to prepare the submission*

Compare the results if passivisation is applied to the non-finite clause (*the submission* can become the subject of the non-finite clause via passivisation with *intend* but not *instruct*):

> **Tom instructed the submission to be prepared by Sue*
> *Tom intended the submission to be prepared by Sue*

However, when we look more closely at the behaviour of other catenative verbs, we find that the facts are less clear. Consider, for example, *expect*, as in:

> *Tom expected Sue to prepare the submission*

Expect is semantically similar to *intend* in so far as it denotes an attitude that a person has towards an event. Like *intend*, *expect* allows passivisation to be applied to the non-finite clause:

Tom expected the submission to be prepared by Sue

However, *expect* behaves differently from *intend*, and similarly to *instruct* in so far as it also allows passivisation to be applied to the main clause:

Sue was expected by Tom to prepare the submission

Another verb that, like *expect*, allows both types of passivisation is *consider*. Compare:

Tom considered Sue to have prepared the submission
Tom considered the submission to have been prepared by Sue
Sue was considered by Tom to have prepared the submission

There are clearly semantic differences between these verbs, but in light of the conflicting syntactic evidence it seems unwise to assume that these semantic differences are reflected in syntactic differences. We shall therefore assume that the sentences we have examined containing such catenative verbs as *instruct*, *intend*, *expect* and *consider* have a similar syntactic structure, with the catenative verb in the main clause taking two complements, an object complement and a catenative complement, as in:

Tom instructed $_{NP}^{O}$ *(Sue)* $_{Cli}^{Cx}$ *[to prepare a submission]*

Tom intended $_{NP}^{O}$*(Sue)* $_{Cli}^{Cx}$*[to prepare a submission]*

Many prescriptive books include a section on so-called 'dangling modifiers', non-finite clauses whose intended subject is unclear. Sometimes, another NP in the sentence, located close to the non-finite clause, presents itself as an absurd possibility (as in *Belching out thick black smoke, we saw the train snaking its way around the mountain*), while sometimes there is no NP that could plausibly serve as 'understood' subject (as in *Having won over two million dollars, a life of luxury awaits*). Undoubtedly, there are some cases that cause problems of interpretation, but one suspects that, in reality, they are quite rare.

7.5   Verbless Clauses

Even further removed from finite subordinate clauses than non-finite clauses are **verbless clauses**, as illustrated in:

1. *He was running* $_{\text{ACl}}[_{\text{Subord}}^{\text{Rel}}\textbf{\textit{with}}[_{\text{Cl}}^{\text{Ax}}\textbf{\textit{his hands on his head}}]]$

2. $_{\text{ACl}}[_{\text{Subord}}^{\text{Rel}}\textbf{\textit{When}}\,_{\text{Cl}}^{\text{Ax}}[\textbf{\textit{angry}}]]$ *he becomes a formidable opponent*

In both cases the verb *be* is 'understood': thus, the verbless clauses here can be related to the finite clauses *his hands were on his head* and *when he is angry.* This is one reason why we cannot interpret these structures as phrases; another reason is that the axis may contain more than one clausal element, as in (1) above. The verbless clause in (1) is introduced by the subordinator *with* (not the more familiar preposition *with*): like the subordinator *for*, as in *It would be better for you to leave*, the subordinator *with* cannot introduce a finite clause.

7.6   Coordination

Whereas subordination is a relationship between elements that do not have the same syntactic status, **coordination** – as the name implies – is a relationship between elements that are of equivalent rank. Accordingly, we cannot specify individual functions for the coordinated elements; rather, it is only the coordination itself whose function we shall specify.

Coordination (typically indicated by the coordinators *and*, *or* and *but*) is a relationship that obtains not only between clauses, but also between phrases and words. Let us nevertheless begin with the coordination of clauses. We have defined a compound sentence as one containing two or more main clauses, as in:

> *John is an accountant and his girlfriend is studying philosophy at university*

We can represent the constituent structure in the following way (again using triangles to indicate that irrelevant details have been omitted). The sequence comprising the coordinated elements will be referred to as a 'coordination'. This may be the entire sentence (as in the present example) or, as we shall see, less than a sentence.

John is an accountant and his girlfriend is studying philosophy at university
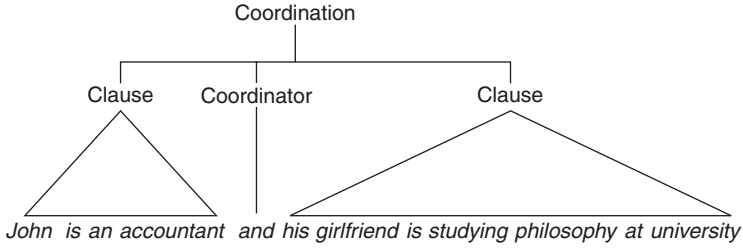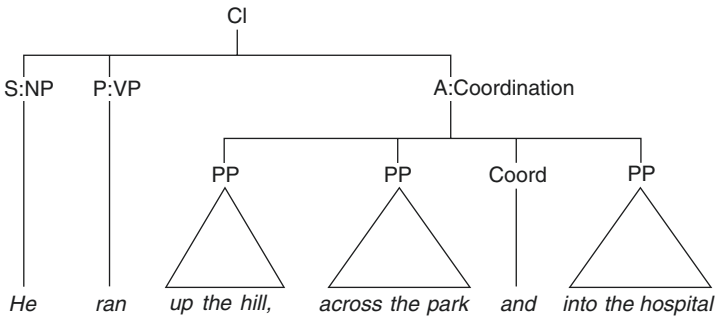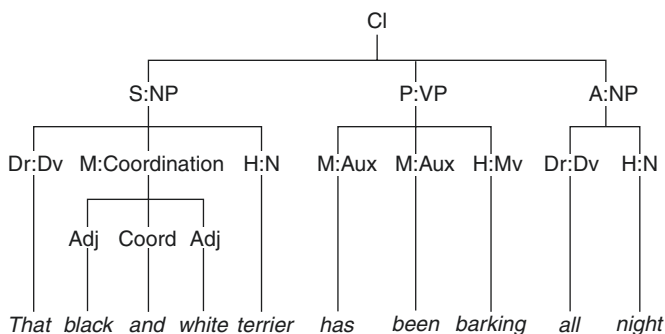
In writing, particularly when we aim for a somewhat informal effect, we can see that coordinators are often felt to be part of the second construction, that is, *and* and *but* are often found initially in a sentence. For example, in Appendix K, the author twice defies the prescriptive prohibition against beginning sentences with coordinators. The first sentence of paragraph 3 begins with *But*, and its third sentence begins with *And*. It can be argued that in the first instance *but* is actually an informal alternative for the connective adverb *however*, but there can be no such mitigating argument for the second example. Similar examples can be found in Appendix D and I (but not in Appendix J, which is a more formal text). See Section 9.3.4.

The coordinator has a closer affinity with the following constituent than with the one preceding, but in order to keep the structure of our trees as simple as possible, we have analysed the coordinator as an immediate constituent of the coordination.

Consider some further examples involving phrase and word coordinations.

He   ran   up the hill,   across the park   and   into the hospital

```
                              Cl
        ┌──────────────────────┼─────────────────────┐
      S:NP                    P:VP                  A:NP
  ┌─────┼─────┐          ┌──────┼──────┐         ┌────┴────┐
Dr:Dv M:Coordination H:N M:Aux M:Aux H:Mv     Dr:Dv      H:N
        ┌───┴───┐
      Adj  Coord  Adj

That black  and white terrier  has   been barking   all      night
```

The relationship of coordination is not always marked by the presence of a coordinator. When no marker is present, we talk of asyndetic coordination (as between the first two coordinated elements in *He ran up the hill, across the park and into the hospital* above).

Ambiguities may sometimes occur, as in *He likes German beer and wine.* As the two tree diagrams below indicate, the ambiguity here derives from whether we have a coordination of NPs functioning as object (as in (1): 'He likes German beer and any type of wine'), or a coordination of NP heads (as in (2): 'He likes German beer and German wine').

```
1.            Cl                           2.          Cl
   ┌─────┬─────┴──────────┐                   ┌─────┬─────┴──────┐
 S:NP  P:VP         O:Coordination          S:NP  P:VP        O:NP
                ┌──────┼──────┐                          ┌──────┴──────┐
               NP    Coord    NP                       M:Adj    H:Coordination
             ┌──┴──┐        │                                  ┌───┬───┐
             M     H        H                                  N  Coord  N

He  likes German beer and  wine            He  likes  German beer and wine
```
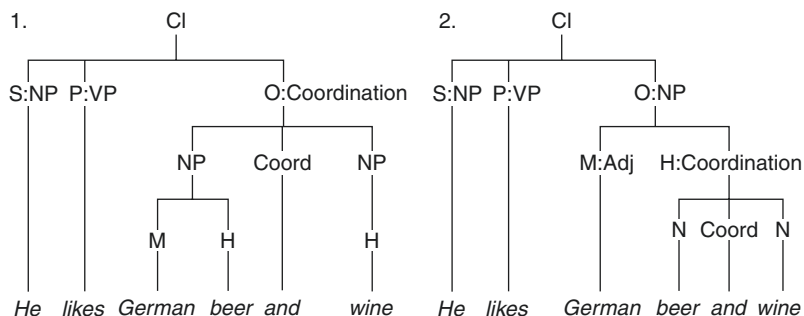
7.7   'Flattened' Tree Analysis

Tree diagrams can become very complex, which is why we have often used triangles to indicate the omission of details not considered pertinent to our discussion. In this section we will present a method of notation that systematically uses 'flattened' triangles in order to reduce tree diagrams to

the bare essentials – to remove unnecessary 'flesh', thereby revealing the structural 'skeleton'.

In this method class labels may be dispensed with: only function labels are used. Flattened trees are used to indicate constructions: the symbol at the apex of the triangle indicates the type of construction, while everything below the base of the triangle represents the constituents of the construction. The type of brackets placed below the endpoints of the base indicate whether the construction is a phrase (round brackets), a clause (square brackets) or a coordination (angle brackets). Within a coordination a plus sign represents any coordinator and a comma represents unlinked coordination. Consider some examples.
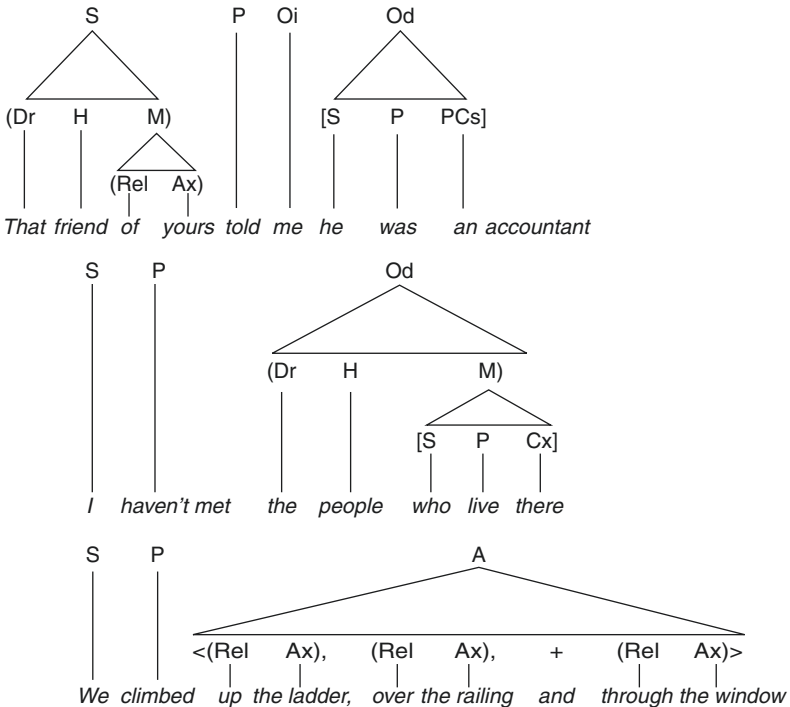
7.7.1 Comparison of labelled bracketing, 'flattened trees' and the full tree diagrams

In this section we present a comparison of the three different methods that we have used in this book for representing the constituent structure

of sentences, using the following examples from the Appendices.

1. Finally, your Year 12 results are here. [D]

a. Labelled bracketing

$$[_{AdvP}{}^{A}(_{Adv}{}^{H} \textit{Finally}), {}_{NP}{}^{S}(_{Pn}{}^{Dr} \textit{your} \, _{N}{}^{M} \textit{Year 12} \, _{N}{}^{H} \textit{results}) \, _{VP}{}^{P}(_{Mv}{}^{H} \textit{are}) \, _{AdvP}{}^{Cx}(_{Adv}{}^{H} \textit{here})]$$

Note that we are interpreting 'Year 12' as a compound noun, equivalent to, say, 'matriculation'.

b. 'Flattened' analysis

A S P Cx
   △

c. Tree diagram
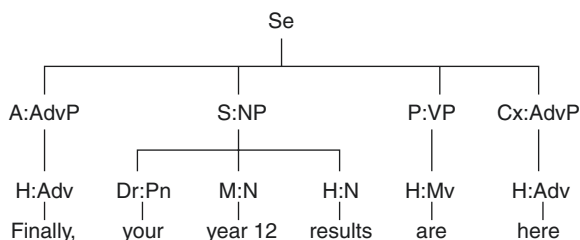
We can see here that with very short sentences like this one all three types of analysis are both easy to prepare and clear to understand.

2. Dr Mike Grey, arachnologist, counts the first day of summer from the arrival of the first male funnel-web at his office. [E]

a. Labelled bracketing

$$[_{NP}{}^{S}(_{N}{}^{M}Dr \, _{N}{}^{H}Mike \, Grey, \, _{NP}{}^{PD}(_{N}{}^{H}arachnologist),) \, _{VP}{}^{P}(_{Mv}{}^{H}counts) \, _{NP}{}^{Od}(_{Dv}{}^{Dr}the \, _{Adj}{}^{M}first$$

$$_{N}{}^{H}day \, _{PP}{}^{M}(_{Prep}{}^{Rel}of \, _{NP}{}^{Ax}(_{N}{}^{H}summer))) \, _{PP}{}^{Cx}(_{Prep}{}^{Rel}from \, _{NP}{}^{Ax}(_{Dv}{}^{Dr}the \, _{N}{}^{H}arrival \, _{PP}{}^{C}(_{Prep}{}^{Rel}of$$

$$_{NP}{}^{Ax}(_{Dv}{}^{Dr}the \, _{Adj}{}^{M}first \, _{Adj}{}^{M}male \, _{N}{}^{H}funnel\text{-}web)) \, _{PP}{}^{M}(_{Prep}{}^{Rel}at \, _{NP}{}^{Ax}(_{Pn}{}^{Dr}his \, _{N}{}^{H}office)))))]$$

b. 'Flattened' analysis

```
      S              P    Od                          Cx
    /   \          / \   / \                        /    \
   M  H  PD   Dr  M   H   M                      Rel      Ax
                          /\                             /  |  \
                        rel  Ax                    Dr   H   C      M
                             /\                             /\    /\
                                                          Rel Ax Rel Ax
                                                              /\     /\
                                                         Dr M M H  Dr  H
```

c. Tree diagram (see following page)

As we can see, both the labelled bracketing and the tree diagram are extremely complex in this example. Here, the flattened analysis is the most elegant and sufficiently detailed method to give us a very clear idea of the structure of this sentence. It allows us to immediately perceive its locus of complexity, the 'weeping-willow' right branching of the Cx.

3. Employers prefer to have fewer employees working longer hours because it is easier to find and train a smaller number of quality employees with suitable work experience. [J]

a. Labelled bracketing

$$[_{NP} \,^S_N(^H Employers) \,^P_{VP}(^H_{Mv} \, prefer) \,^{Cx}_{Cli} \,^P[_{VP}(^H_{Mv} \, to \, have) \,^{Od}_{NP}(^{Dr}_{Dv} \, fewer \,^H_N employees$$

$$\,^M_{Cling}[\,^P_{VP}(^H_{Mv} \, working) \,^{Od}_{NP}(^M_{Adj} \, longer \,^H_N hours)]) \,^A_{ACl}[\,^{Rel}_{Subord} because \,^{Ax}_{Cl}[\,^S_{NP}(^H_{Pn} \, it)$$

$$\,^P_{VP}(^H_{Mv} \, is) \,^{PCs}_{AdjP}(^H_{Adj} \, easier) \,^{Cx}_{Cli}[\,^P_{VP}(to \, <\,^H_{Mv} \, find \, and \,^H_{Mv} train >) \,^{Od}_{NP}(^{Dr}_{Dv} a \,^M_{Adj} smaller$$

$$\,^H_N number \,^C_{PP}(^{Rel}_{Prep} of \,^{Ax}_{NP}(^M_N \, quality \,^H_N employees \,^M_{PP}(^{Rel}_{Prep} with \,^{Ax}_{NP}(^M_{Adj} suitable$$

$$\,^M_N work \,^H_N experience)))))]]]]]$$

Note that this sentence is made extremely complex by the presence of both a catenative construction (prefer to have …) and as extraposition (it is easier to find …).

Se

S:NP — P:VP — Od:NP — Cx:PP

S:NP: M:N — H:N — PD:NP (H:V)
Dr — Mike Grey, — arachnologist,

P:VP: H:Mv
counts

Od:NP: Dr:Dv — M:Adj — H:N — M:PP
the — first — day

M:PP: Rel:Prep — Ax:NP (H:N)
of — summer

Cx:PP: Rel:Prep — Ax:NP
from

Ax:NP: Dr:Dv — H:N — C:PP
the — arrival

C:PP: Rel:Prep — Ax:NP
of

Ax:NP: Dr:Dv — M:Adj — M:Adj — H:N
the — first — male — funnel-web

M:PP: Rel:Prep — Ax:NP
at

Ax:NP: Dr:Pn — H:N
his — office

Se

S:NP — H:N — Employers

P:VP — H:MV — prefer

Cx:Cli
- Od:NP
  - P:VP — H:Mv — to have
  - H:N — fewer employers
  - Dr:Dv — fewer
  - M:Cling
    - P:VP — H:Mv — working
    - O:NP
      - M:Adj — longer
      - H:N — hours

A:ACL
- Rel:Subord — because it
- Ax:Cl
  - S:NP — H:Pn — it
  - P:VP — H:Mv — is
  - PCs:AdjP — H:Adj — easier to find and train
  - Cx:Cli
    - P:coordination — H:Mv / H:Mv — easier to find and train
    - O:NP
      - Dr:Dv — a
      - M:Adj — smaller
      - H:N — number
      - C:PP
        - Rel:Prep — of
        - Ax:NP
          - M:N — quality
          - H:N — employers
          - M:PP
            - Rel:Prep — with
            - Ax:NP
              - M:Adj — suitable
              - M:N — work
              - H:N — experience

b. 'Flattened' analysis

c. Tree diagram (see previous page)

We can see again in the diagrams above that with extremely complex structures labelled bracketing is neither informative enough nor easy to present without making errors. Tree diagrams offer the most detail and visual saturation, but are time-consuming and unwieldy. Flattened analyses are often all that is needed, however, to be able to perceive the structure of a sentence at a glance.

Exercises

7a. Each of the following sentences contains one finite subordinate clause. For each sentence: (i) Identify the subordinate clause. (ii) Say whether it is NCl, RCl, ACl or CCl. (iii) Describe the function of the subordinate clause within the construction containing it in terms of the elements S, P, O, PC, A, PD or M:

1. *We just thought it was appropriate* [F]
2. *They enjoy it because we get into the music* [F]
3. *Department stores do not offer as much friendly service as they used to*
4. *And here's a song they were doing early on in the piece.* [F]
5. *I wonder if they will offer her the job*
6. *We have a society that's increasingly reaching back to paganism* [G]
7. *So if you're looking for a better tertiary qualification, just call 13 19 01 today.* [D]

Example: *That he left so early was a major disappointment*
That he left so early (ii) NCl (iii) S

7b. The underlined relative clauses in the following examples can be interpreted as either restrictive or non-restrictive. Comment on the difference in meaning between the two interpretations. Punctuation is deliberately omitted.

1. *We have spoken to the neighbours <u>who saw the incident</u>*
2. *He was driving a car <u>which I hadn't seen before</u>*

7c. Each of the following sentences contains a non-finite clause (as underlined). For each one: Classify the clause as a Cli, Cling or Clen. Indicate the type of construction containing it. State its function within that construction:

1. *He regrets <u>dividing their assets equally</u>*
2. *We always wanted <u>to play in bands</u>* [F]
3. *<u>Addicted to Elfland's dream and perversity</u>, we waste away* [G]
4. *Try to keep your back straight <u>when lifting heavy objects</u>*
5. *The time <u>to do it</u> is now*
6. *They're a rock string quartet <u>formed a few years ago</u>* [F]
7. *It was difficult <u>for him to maintain his concentration</u>*
8. *They … are on the verge of <u>releasing their first CD of covers and originals</u>* [F]
9. *She intends <u>to make us another offer</u>*

Examples: *Children <u>born in hospital</u> are more likely to survive*
Clen/NP/M

He was lucky <u>to survive the ordeal</u>
Cli/AdjP/C

7d. Using primarily functional terms, explain the different interpretations of the following ambiguous sentences. Punctuation is deliberately omitted.

1. *He forgot the time when he was in prison*
2. *I revealed that I had written the note before they suspected me*
3. *He admits defaming them openly*
4. *He was unwise to speak honestly*
5. *He said that he saw them last week*

7e. For each of the following verbs, say whether it can take a noun clause that is:

declarative, interrogative, exclamative. Give an example of each:
wonder, promise, ask, assume, doubt, forget

Examples: *realise*
declarative: *John realised that he had been foolhardy*
interrogative: *John realised why he had been foolhardy*
exclamative: *John realised how foolhardy he had been enquire*

   enquire
declarative: –
interrogative: *John enquired whether tickets were still available*
exclamative: –

7f. Elements that are coordinated do not always belong to the same class (e.g. in *Please come next Tuesday or sooner*, an NP and AdvP are coordinated). Construct sentences containing coordinations of the following elements:

1. PP + AdvP
2. NP + AdjP
3. NP + non-finite clause
4. PP + AdjP

7g. Coordination may occur at a variety of positions in constituent structure (e.g. in PPs there may be a coordination in the relator position, as in *up and over the wall*, as well as in the axis position, as in *over the wall and the hedge*). Construct sentences containing coordinations in the positions indicated below:

1. (Clause) (a) subject, (b) predicator, (c) indirect object, (d) predicative complement (objective)

2. (NP) (a) determiner, (b) pre-head modifier, (c) head, (d) post-head modifier

3. (AdjP) (a) pre-head modifier, (b) head, (c) post-head modifier, (d) complement

7h. The following sentences are ambiguous. Use angle brackets < > to enclose coordinations and explain the difference in meaning:

1. *Women and men over thirty are welcome*
2. *Alsatians can be extremely aggressive and temperamental*
3. *Mary and Bill or Peter made this mess*
4. *Tom plays indoor cricket and football*

7i. Make a collection of 'dangling modifiers' from newspapers and/or magazines. Suggest what the 'understood' subject is in each case. How great is the likelihood that any of your examples would cause problems of interpretation?

7j. Appendix K, 'The Scope of Linguistics', contains a number of both subordinated and coordinated clauses. Go through the text quickly and jot down an impressionistic count of each. Are the subordinate clauses mainly finite or non-finite? Since subordination is a mark of a more mature, formal, 'writerly' text, while coordination is often a sign of the spoken mode, and a young writer, are you surprised by what you find in this text? What kind of clause complementation patterns (see Section 6.3) dominate the text? Save your preliminary findings for a more complete analysis of this text at the end of Chapter 11.

7k. Appendices C, I and K contain stand-alone coordinated clauses (*And*-initial sentences). What type of effect do these sentences create within their texts?

8 Information Structure in the Clause

8.1 Information Structure

In this chapter we shall consider various types of alternation between clauses that differ not in the basic meaning expressed, but in the way it is structured as a message. Within a particular context, the types of factors that will determine whether one clause variant is selected over another will involve considerations of 'topic', 'information' and 'weight'. Let us consider these factors in some detail before commencing our examination of the types of clauses in question in the next section.

The **topic** of a clause is what it is about – a discourse/pragmatic notion – and this is typically expressed as the first element in the clause. Consider the underlined passive sentence in the following:

> *One of the protesters climbed over the barricade and attempted to enter the building. <u>He was promptly thrown to the ground by two policemen</u>.*

The underlined sentence is understood to 'be about' the protester referred to by the subject *he*, who is introduced in the previous sentence. The active counterpart (*Two policemen promptly threw him to the ground*) would have a different topic (*two policemen*), one that would be somewhat less natural in the context in so far as the policemen have not been previously mentioned.

Another factor that may influence the selection of one variant over another is '**end-focus**', the tendency for 'focal' constituents to appear towards the end of the clause. Focal, or **new**, information is signalled by the placement of stress. Prototypically, this falls on the last open class word in the information unit. Consider the sentence:

> *Algernon drove the bus*

Here, *bus* is most likely to be stressed, and as a consequence the new information may be expressed by:

- *the bus* (e.g. as a response to *What did Algernon drive?*, where it is assumed, or given, that Algernon drove something)
- *drove the bus* (e.g. as a response to *What did Algernon do?*, where it is assumed that Algernon did something)
- *Algernon drove the bus* (e.g. as a response to *What happened?*, where nothing is given).

In the light of what we have just said about end-focus, consider the alternation between sentences such as:

1. *Sam sent the largest parcel to Marcia*
2. *Sam sent Marcia the largest parcel*

Other things being equal, (1) is likely to be preferred over (2) in a context where it is given that Sam sent the largest parcel and the new information is that Marcia was the recipient ('Who did Sam send the largest parcel to?'). Conversely, (2) is likely to be favoured in a context where it is given that Sam sent Marcia something, and the news is that that something was the largest parcel.

Finally, there is a tendency – called '**end-weight**' – for long and complex constituents of the clause to occur at or towards the end of the sentence. For example, (1) below is likely to be preferred over (2) because the latter is 'front-heavy' (it has a long subordinate clause in initial position).

1. *It is a pity that all efforts to revive the study of Latin in secondary schools have been in vain*
2. *That all efforts to revive the study of Latin in secondary schools have been in vain is a pity*

End-weight is often associated with end-focus, in so far as long and complex constituents tend to be associated with new rather than given information.

8.2   Active and Passive Clauses

The names **active** and **passive** are motivated by the different semantic roles associated with the subject in typical clauses expressing an activity: namely, in active clauses that of 'actor', (the inspector in (1) below is the

one who performs the action), and in passive clauses that of 'patient', (Jim in (2) below is the one who undergoes the action):

1. *The inspector confronted Jim*   (active)
2. *Jim was confronted by the inspector*   (passive)

If we compare the active and passive clauses in (1) and (2), it can be seen that, taking the active clause as basic, the passive can be derived by:

- converting the object of the active (*Jim*) into the subject of the passive
- making the subject of the active (*the inspector*) into the axis of a *by*-phrase
- making the VP passive (by adding auxiliary *be* to the VP before the main verb and converting the main verb into the Ven form).

The 'agent' *by*-phrase is optional, and, in fact, passives without it (such as *Fred was injured*) are far more common in English than those with a *by*-phrase (such as *Fred was injured by a falling rock*).

The passive of ditransitive clauses normally has the indirect object as subject of the passive, as in (2) below, with passives such as that in (3) – with the subject corresponding to the passive direct object – being restricted to certain dialects (note that *A rebate was given us by the Taxation Department* is the passive counterpart of *The Taxation Department gave us a rebate*, not of *The Taxation Department gave a rebate to us*):

1. $\underset{NP}{\overset{S}{}}$*The Taxation Department* $\underset{VP}{\overset{P}{}}$*gave* $\underset{NP}{\overset{Oi}{}}$*us* $\underset{NP}{\overset{Od}{}}$*a rebate*   (active)

2. $\underset{NP}{\overset{S}{}}$*We* $\underset{VP}{\overset{P}{}}$*were given* $\underset{NP}{\overset{Od}{}}$*a rebate* $\underset{PP}{\overset{Cx}{}}$*by the Taxation Department*   (passive)

3. $\underset{NP}{\overset{S}{}}$*A rebate* $\underset{VP}{\overset{P}{}}$*was given* $\underset{NP}{\overset{Oi}{}}$*us* $\underset{PP}{\overset{Cx}{}}$*by the Taxation Department* (passive)

The element that becomes passive subject may be the axis-NP of a PP, rather than the object of the verb, as in:

Many scientists have referred $\underset{PP}{\overset{Cx}{}}$*(to this effect)*

$\underset{NP}{\overset{S}{}}$*(This effect) has been referred* $\underset{Prep}{\overset{Cx}{}}$*(to) by many scientists*

In typical cases the informational factors involved in the choice between active and passive sentences are those which we have discussed in the previous section. In so far as passivisation reverses the sequential arrangement of the two NPs, the choice will be influenced by the tendency for the topic expression to appear early, and for focal and complex constituents to appear late. An additional factor relates to the fact that the agent phrase in the passive is syntactically optional and can be omitted if the speaker/writer wishes to omit information that would have to be expressed in the corresponding active. Consider:

1. *The cathedral was built in 1458*
2. *The river broke its bank and half the town was flooded*
3. *Twenty milligrams of sodium chloride were added to the solution*
4. *Payment by cheque or bank card is required within 20 days*

In (1) the identity of the builders may not be known, and even if it is, it is likely to be of less significance than the age of the cathedral. In (2) the understood agent (*by the water*) can be readily inferred. In (3) and (4) the passive enables the writer to avoid self-reference: such agentless passives are a typical feature of scientific and bureaucratic writing.

Some usage guides are critical of agentless passives for their failure to disclose the identity of the agent. However, agentless passives are but one type of construction that can be used for identity suppression; if, for example, *due* were substituted for *required* in (4) above, the clause would no longer be passive and yet the sense of an imposition deriving from an unspecified source would remain. It would be nonsensical to avoid passives simply on this account: they provide a resource for achieving topical cohesion in English and as such will be found to constitute an appropriate stylistic choice in many contexts.

8.3 Subject–complement Switch

Subject–complement switch bears some similarities to passivisation. It applies to clauses containing the main verb *be* in its 'identifying' use, with a predicative complement that is identifying rather than attributive (see Section 6.1), as in:

1. [S,NP]*George* [P,VP]*is* [PCs,NP]*the tallest one*

2. [S,NP]*The tallest one* [P,VP]*is* [PCs,NP]*George*

As in passivisation, the two NPs here switch places and their functions change (*George* is the subject in (1), and *the tallest one* in (2)). However, unlike passivisation, there is no change in the verb and the preposition *by* is not added.

Identifying *be* does not permit passivisation proper (we can't say **The tallest one is been by George*), but subject–complement switch allows a similar type of rearrangement of clausal elements to that occurring in transitive clauses with passivisation.

One special kind of construction that belongs here is the one often referred to as the **pseudo-cleft**, as illustrated by:

1. [S,RCl]*What he said* [P,VP]*was* [PCs,NCl]*that he approved wholeheartedly*

2. [S,NCl]*That he approved wholeheartedly* [P,VP]*was* [PCs,RCl]*what he said*

Here, the subject in the basic sentence (and thus the predicative complement in the switched version) is a free relative clause (see Section 7.3.3). The name 'pseudo-cleft' reflects the affinities that the construction has with the cleft sentence (see Section 8.6).

8.4   Extraposition

Extraposition involves the movement of a subordinate clause from subject position, as in (1) or occasionally from object position, as in (2) to the right of the predicate and insertion of the dummy pronoun *it* in the position vacated by the clause:

1. [S,NCl]*That he escaped without injury* [P,VP]*is* [PCs,AdjP]*amazing* $\longrightarrow$

    [S,VP]*It* [P,VP]*is* [PCs,AdjP]*amazing* [Cx,NCl]*that he escaped without injury*

2. [S,NP]*I* [P,VP]*find* [Od,NCl]*that he escaped without injury* [PCo,Adjp]*amazing* $\longrightarrow$

    [S,NP]*I* [P,VP]*find* [Od,NP]*it* [PCo,Adjp]*amazing* [Cx,NCl]*that he escaped without injury*

Occasionally, non-finite clauses may be extraposed over short predicates, as in:

It's been fun talking to you
It's been fun to talk to you

The only exception to the generalisation that extraposition applies to clauses involves NPs; more specifically, NPs that are usually semantically equivalent to subordinate interrogatives, as in *It's questionable the amount of energy our leader has*, where the extraposed NP, *the amount of energy our leader has*, may be compared with *how much energy our leader has*.

The informational motivation for extraposition is end-weight: the movement of a longer and more complex constituent to final position makes the sentence easier to process.

8.5   Existential Sentences

Another type of construction that has a dummy pronoun as subject (in this case *there*), and in which material is moved to a later position is called an **existential sentence**, as exemplified in:

$$_{NP}^{\ s}Someone\ _{VP}^{P}is\ _{PP}^{Cx}at\ the\ door\ \longrightarrow$$

$$_{NP}^{\ s}There\ _{VP}^{P}is\ _{NP}^{Cx}someone\ _{PP}^{Cx}at\ the\ door$$

The name 'existential' derives from the use of such sentences to express propositions of existence:

There are many species of pine tree

It is important to note, however, that this is not their only use. Existential sentences may, for example, express the occurrence of events rather than the existence of entities, as in:

There was a robbery at the bank yesterday

The dummy pronoun *there* is to be distinguished from the locative adverb *there* (from which it derives historically). Compare the two *there*s in:

$$_{NP}^{\ s}There\ _{VP}^{P}'s\ _{NP}^{Cx}a\ leak\ _{AdvP}^{A}there$$

The second *there* is a place-indicating adverb (which can be stressed and is in contrast with other locative expressions such as *here* and *in the pipe*). The first *there* (which can never be stressed) does not indicate place; rather, it is a dummy pronoun, as seen by its capacity to:

- invert with the operator in interrogatives (e.g. *Is there a leak there?*)
- enter into agreement with the verb (e.g. *There's three people away today*) – at least in informal usage.

In the vast majority of cases, the 'displaced subject' NP is indefinite; as one would expect, given that the primary informational motivation of existential sentences is to introduce a referent newly into the discourse. However, definite NPs are not entirely excluded. A speaker may use a definite NP in an existential sentence to refer to an entity which, although familiar to the addressee, does not happen to be salient in a particular context, as with *the football* in:

A: *What do you suggest that we should do this weekend?*
B: *Well, there's always the football*

In addition to *be*, existential sentences allow a small set of intransitive verbs such as *follow*, *remain* and *appear*, as in:

There appeared a large ship on the horizon

What follows the 'displaced subject' is sometimes called the 'extension'. A number of different types of extension are possible:

- locative complement:

  $_{NP}^{S}$*There* $_{VP}^{P}$*'s* $_{NP}^{Cx}$*a toad* $_{PP}^{Cx}$*in the pool*

  Here, we have to understand 'locative' complement in a broad sense in order to include expressions indicating location in time, such as *yesterday* in *There was no hearing yesterday.*

- predicative complement:

  $_{NP}^{S}$*There* $_{VP}^{P}$*were* $_{NP}^{Cx}$*some non-members* $_{AdjP}^{PC}$*present*

The predicative complement must normally denote a temporary state of affairs (*absent*, *open*, *sick* etc.) rather than a property (*short*, *green*, *American* etc.). Compare:

There were several people sick
*There were several people American

- 'zero' complement:

$_{NP}^{S}$*There* $_{VP}^{P}$*'s been* $_{NP}^{Cx}$*an accident*

This type is sometimes called 'bare existential' since there is no extension. Bare existentials have no non-existential counterpart (**An accident has been*).

- relative clause:

$_{NP}^{S}$*There* $_{VP}^{P}$*are* $_{NP}^{Cx}$*three things* $_{RCl}^{Cx}$*I'd like to say*

This is the existential counterpart of *I'd like to say three things.* This type excludes cases with an NP containing a relative clause as modifier (e.g. *There are machines that can think like humans*), which can be straightforwardly handled as bare existentials.

- non-finite clause:

$_{NP}^{S}$*There* $_{VP}^{P}$*'s* $_{NP}^{Cx}$*someone* $_{Cling}^{Cx}$*knocking at the door*
$_{NP}^{S}$*There* $_{VP}^{P}$*were* $_{NP}^{Cx}$*lots of people* $_{Clen}^{Cx}$*arrested*

These are the existential counterparts of *Someone's knocking at the door* and *Lots of people were arrested* respectively. The extension is either a present-participial clause or a past-participial clause.

From an informational point of view, existential sentences allow a non-topical NP – one that in many cases serves to introduce a new entity into the discourse – to be moved out of the subject position to a later, and therefore focal, position in the sentence.

8.6   Cleft Sentences

The **cleft sentences** below are all informational variants of the basic sentence *Lois rang Ben at lunchtime*:

$$\underset{NP}{\overset{S}{It}}\ \underset{VP}{\overset{P}{was}}\ \underset{NP}{\overset{PCs}{Lois}}\ \underset{RCL}{\overset{Cx}{who\ rang\ Ben\ at\ lunchtime}}$$

$$\underset{NP}{\overset{S}{It}}\ \underset{VP}{\overset{P}{was}}\ \underset{NP}{\overset{PCs}{Ben}}\ \underset{RCL}{\overset{Cx}{that\ Lois\ rang\ at\ lunchtime}}$$

$$\underset{NP}{\overset{S}{It}}\ \underset{VP}{\overset{P}{was}}\ \underset{PP}{\overset{Cx}{at\ lunchtime}}\ \underset{RCL}{\overset{Cx}{that\ Lois\ rang\ Ben}}$$

In each case, the basic clause has been divided – 'cleaved' – into two parts, one of which is highlighted as complement to *be* in a main clause with *it* as subject, while the other is subordinated in the form of a relative clause, which has the highlighted element as its antecedent. The subordinate clause is not a typical relative clause. Structurally, it is similar to a restrictive relative, in being introduced by a relative phrase (*who*, *that* etc.) which may often be omitted (e.g. *It was Ben Lois rang at lunchtime*; *It was at lunchtime Lois rang Ben*). However, there are some notable differences: it differs in the strong preference for *that* as the relative item, and in the range of elements that occur as antecedent. These include:

- PPs   (e.g. *It was **in Paris** that they met*)
- finite clauses   (e.g. *It was **because Lois had a technical problem** that she rang Ben at lunchtime*).

The highlighted element is so called because it is typically focal (and very often contrastive: *It was Lois who rang Ben at lunchtime* is likely to imply a contrast between Lois and other people who might have rung Ben). By contrast, the relative clause is usually non-focal; in fact, the information in the relative clause is often so readily recoverable from the context that the relative clause is omitted, as in:

A: *Who was it who saw the accident?*
B: *It was my brother.*

However, the relative clause is not necessarily non-focal. Examples of the following type, where the information in the relative clause is unlikely to have been previously mentioned, are not uncommon in journalistic writing:

> *It was at 8.30 last night that the Prime Minister received the first of two telephone calls from the White House*

The constructions discussed in Sections 8.2–8.5 all involve differences in the sequential arrangement of elements. In a cleft sentence the order of elements in the corresponding basic clause may be altered, but it is not necessarily so (e.g. *It was Kim who fainted*; compare *Kim fainted*).

Another type of construction in which the sequential arrangement of elements may or may not be changed is the so-called 'pseudo-cleft' (which we introduced in Section 8.3). The following example corresponds to the basic clause *The bathroom requires a fresh coat of paint*:

> *What the bathroom requires is a fresh coat of paint*

The informational function of the pseudo-cleft is to present the contents of the subject relative clause as presupposed information and the NP complement of *be* as focal. The term 'pseudo-cleft' suggests that despite the apparent resemblances to cleft sentences, they should not necessarily be described in the same way. Thus, whereas we shall regard cleft sentences as 'deriving from' their more basic non-cleft counterparts, we shall not regard pseudo-clefts as being derived in this way. The reason is that there are pseudo-cleft sentences which could not be derived from a more basic sentence, such as the following (compare **I like about him his sense of humour*):

> *What I like about him is his sense of humour*

8.7   'Reordering'

We shall treat together in this section a number of constructions in which elements of the clause are moved from their basic position in response to informational factors.

8.7.1   Topicalisation

Topicalisation is the term that is generally applied to the reordering process that puts an element in front position in the clause in order to make it the topic:

$$\underset{\text{NP}}{\overset{\text{Od}}{\textit{\textbf{Cheeky children}}}} \underset{\text{NP}}{\overset{\text{S}}{\textit{he}}} \underset{\text{VP}}{\overset{\text{P}}{\textit{can't stand}}}$$

$$\underset{\text{NP}}{\overset{\text{A}}{\textit{\textbf{The following Sunday}}}} \underset{\text{NP}}{\overset{\text{S}}{\textit{we}}} \underset{\text{VP}}{\overset{\text{P}}{\textit{went}}} \underset{\text{PP}}{\overset{\text{A}}{\textit{to the Gold Coast}}}$$

These two examples are plausibly interpreted as being about 'cheeky children' and 'the following Sunday' respectively; that is, as having these as their topics. However, the term 'topicalisation' is slightly misleading because the motivation for moving an element into front position is not necessarily to make it the topic:

$$\underset{\text{AdjP}}{\overset{\text{PCs}}{\textit{\textbf{Humble}}}} \underset{\text{NP}}{\overset{\text{S}}{\textit{he}}} \underset{\text{VP}}{\overset{\text{P}}{\textit{is not}}}$$

$$\{\textit{I promised to pay and}\} \quad \underset{\text{VP}}{\overset{\text{P}}{(}} \underset{\text{Mv}}{\overset{\text{H-}}{\textit{\textbf{pay}}}}) \qquad \underset{\text{NP}}{\overset{\text{S}}{\textit{I}}} \qquad \underset{\text{Aux}}{\overset{\text{-M}}{\textit{will}}})$$

Here, the motivation for the fronting is more plausibly interpreted as being connective: *humble* most likely contrasts with something earlier, while *pay* repeats an earlier mention (in the previous clause).

8.7.2   Locative inversion

Locative inversion is the name often used in grammatical descriptions of English for another, similar, process that moves a locative expression to the front of the clause, but at the same time moves the subject to post-verbal position, as in:

$$\underset{\text{PP}}{\overset{\text{Cx}}{\textit{\textbf{On top of the wardrobe}}}} \underset{\text{VP}}{\overset{\text{P}}{\textit{was}}} \underset{\text{NP}}{\overset{\text{S}}{\textit{a battered old trunk}}}$$

$$\underset{\text{VP}}{\overset{\text{A}}{\textit{\textbf{Over the hill}}}} \underset{\text{VP}}{\overset{\text{P}}{\textit{appeared}}} \underset{\text{NP}}{\overset{\text{S}}{\textit{the cavalry}}}$$

Here, the reordering enables the displaced subject to receive prominence as the focal information. The use of the adjective 'locative' in 'locative

inversion' is arguably too restrictive, given that the same process occurs with a sentence such as the following, where the expression moved into the initial position does not express a locative meaning:

$_{AdjP}^{PCs}$***More important*** $_{VP}^{P}$*are* $_{NP}^{S}$*the moral objections*

8.7.3 Dislocation

'Dislocation' is a process that may move an element of the clause to the left, with a personal pronoun being put in its place (called 'left dislocation'), or it may move an element to the right (called 'right dislocation'). These processes, which are largely confined to informal speech, are illustrated respectively below:

$_{NP}^{Cx}$***Racial prejudice,*** $_{NP}^{S}$*I* $_{VP}^{P}$*don't like* $_{NP}^{Od}$*it*   (left dislocation)

$_{NP}^{S}$*I* $_{VP}^{P}$*don't like* $_{NP}^{Od}$*it,* $_{NP}^{Cx}$***racial prejudice***   (right dislocation)

Left dislocation serves to explicitly announce the topical status of the dislocated element, while right dislocation generally serves to clarify or reinforce the identity of a referent by giving it the focal prominence associated with final position. The dislocated element may represent a variety of functions within the 'governing' clause. Consider the following:

My brother, ^{s}*(he) had a nasty accident*   (subject)

^{s}*(He) had a nasty accident, my brother*   (subject)

My brother, someone has attacked ^{Od}*(him)*   (object)

Someone has attacked ^{Od}*(him), my brother*   (object)

The attack on your brother, I heard ^{Cx}*(* ^{Rel}*about* ^{Ax}*(it))*   (axis of PP)

I heard ^{Cx}*(* ^{Rel}*about* ^{Ax}*(it)), the attack on your brother*   (axis of PP)

8.7.4   Complex NP shift

A relatively minor process involving movement into final position that is sometimes called 'complex NP shift' is illustrated in:

$$\underset{NP}{\overset{S}{They}}\;\underset{VP}{\overset{P}{pronounced}}\;\underset{NP}{\overset{Od}{\textbf{each of the accused}}}\;\underset{Adjp}{\overset{PCo}{guilty}}\;\longrightarrow$$

$$\underset{NP}{\overset{S}{They}}\;\underset{VP}{\overset{P}{pronounced}}\;\underset{Adjp}{\overset{PCo}{guilty}}\;\underset{NP}{\overset{Od}{\textbf{each of the accused}}}$$
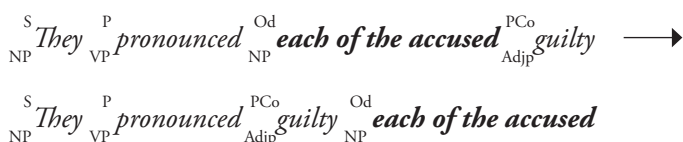
This process involves the movement of a long and complex object NP to a later position in the sentence, and is thus motivated by the principle of end-weight.

8.7.5   Extraposition from NP

Another minor process that is also motivated by end-weight, involving movement into final position (of a dependent element from an NP), is sometimes called 'extraposition from NP'. This process differs from ordinary extraposition in that it does not involve insertion of a dummy *it.* An example follows:

$$\underset{NP}{\overset{S}{(}}\underset{Dv}{\overset{Dr}{The}}\;\underset{N}{\overset{H}{time}}\;\underset{Cli}{\overset{M}{[\textbf{to paint the house}]})}\;\underset{VP}{\overset{P}{has\ come}}\;\longrightarrow$$

$$\underset{NP}{\overset{S}{(}}\underset{Dv}{\overset{Dr}{The}}\;\underset{N}{\overset{H\text{-}}{time}}\;)\;\underset{VP}{\overset{P}{has\ come}}\;\underset{Cli}{\overset{\text{-}M}{[\textbf{to paint the house}]}}$$
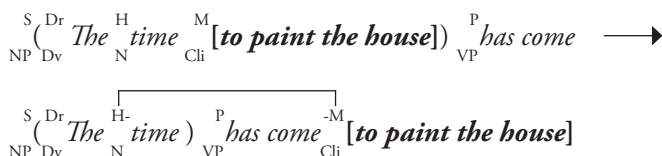
8.7.6   Dative movement

Finally, consider a process referred to by many grammarians as '**dative movement**', which converts a PP-axis into an indirect object, as in:

$$\underset{NP}{\overset{S}{Penny}}\;\underset{VP}{\overset{P}{sold}}\;\underset{NP}{\overset{Od}{the\ refrigerator}}\;\underset{PP}{\overset{Cx}{\textbf{to him}}}\;\longrightarrow$$

$$\underset{NP}{\overset{S}{Penny}}\;\underset{VP}{\overset{P}{sold}}\;\underset{NP}{\overset{Oi}{\textbf{him}}}\;\underset{NP}{\overset{Od}{the\ refrigerator}}$$
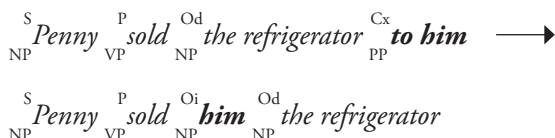
While it is undoubtedly the case that the alternation between such sentences is motivated by informational factors, it is not clear that we can legitimately regard one of the sentences as being more 'basic', with the other being derived from it. It makes more sense to treat both clauses as basic because there are many verbs that exhibit one pattern of complementation, but not the other. Compare:

They reported the result to Tom
*They reported Tom the result

The judge fined him 2,000 dollars
*The judge fined 2,000 dollars to him

Exercises

8a. Some of the following active sentences can be transformed into a passive, but others cannot. For those that have a passive counterpart, say what it is. For those that do not, suggest a reason why not:

1. *Eliot became a major literary figure*
2. *Colonel Carruthers ordered the troops to advance*
3. *Uncle Ted called last week*
4. *Saussure established that language is a sign system*
5. *Our supervisor instructed us to begin working*
6. *He died a pauper*
7. *We know John to be a fraud*

8b. The agent may be omitted in passive sentences for a variety of reasons. Suggest a reason for its omission in each of the following cases:

1. *The President has been assassinated*
2. *The crowd pushed forward and <u>we were pressed against the fence</u>*
3. *Your gum tree was blown over last night*
4. *Trespassing is forbidden*

8c. Pick out from the following sentences those which have an existential counterpart and say what it is:

1. *Someone is absent*
2. *Mrs Murphy is at the door*

3. *Three competitors are disabled*
4. *No one was hurt in the accident*
5. *Jan is approaching*
6. *A mysterious figure appeared*

Example: *A large spider was under the bricks*
         There was a large spider under the bricks

8d. Convert each of the following sentences into three different cleft sentences, by selecting different clause elements to be highlighted in each case:

1. *The swimmers were attacked by a large shark near the pier*
2. *He gave a detailed report to the police after the accident*

Example: *The professor spoke to Jane on Friday*
         It was to the professor that Jane spoke on Friday
         It was Jane to whom the professor spoke on Friday
         It was on Friday that the professor spoke to Jane

8e. Each of the following sentences is an example of one of the following: extraposition, cleft, right dislocation, and none of these. Say which of these four classifications applies to each sentence and, in the case of those that are extraposition, cleft and right dislocation, provide the corresponding unmarked (non-extraposed, non-cleft or non-dislocated) version:

1. *It was Margaret who did it*
2. *It was surprising how cold it was*
3. *It was very strange, the way he behaved*
4. *It was very cold yesterday*
5. *It was undecided who was to peel the potatoes*
6. *It was a clever ploy to gain a further extension*
7. *It was on a cold morning in June that we set out*
8. *It was a cold winter's morning*
9. *It was a Honda, the car she was driving*

8f. Identify the type of construction in each of the following sentences. Inspect the context in which it occurs and comment on the suitability of its selection there in terms of such factors as topic, information and weight.

1. *And more than once, its rich, ruby plum colour and its soft taste were given generous nods of approval.* [C]

2. *It's not just your academic skills that can give you an edge either.* [D]
3. *It's not expected to to play to play this music on string instruments* [F]
4. *There's a lot of sort of bridge bashing and things like that* [F]
5. *There are many variants on the basic myth of the visit to Fairyland.* [G]
6. *He was allowed to do so* [G]
7. *perhaps because it was tacitly agreed some time ago that its new basis would be scientific humanism* [G]

8g. Appendix J and Appendix K contain a number of examples of informationally non-neutral clauses: cleft, pseudo-cleft, extraposition, existential and passive clauses. Try to go through both the texts quickly and find an example of each. The aim is to develop facility in assessing what the text is trying to achieve and what language resources it makes use of. Now propose the reason for using each of these non-basic clauses, rather than the possible basic versions.

Hint: Both the cleft and the extraposition begin with the pronoun *it*. However, with extraposition, it is only this pronoun *it* that you can remove in order to restore the clause to a reasonable basic version. With the cleft, we must also remove the verb *be* and the relative pronoun.

Part B
Looking at Language in Context

9 From Separate Sentences to Connected Text

9.1 Some Preliminary Considerations

In the preceding chapters, we have dealt with grammatical structures involving elements 'below' sentence level, such as words, phrases and clauses. In particular, we were concerned with the inflectional forms of words (singular/plural, present tense/past tense etc.), and with the ways individual words can be combined into phrases, phrases into clauses, and clauses into sentences. These issues belong to the areas of morphology and syntax respectively, which are usually considered to constitute the domain of grammar proper. Furthermore, it is important to note that in those chapters we have usually used as our examples sentences specifically designed to illustrate a particular point of grammar.

The main concerns of this part of the book (text analysis), on the other hand, are categories operating 'above' sentence level and our illustrations are mostly taken from 'real-life' texts. We will be using several extended texts as our resource material throughout Part B, and these texts appear in full in the Appendices. In addition, short illustrations: jokes, proverbs and snippets of overheard conversation are quoted here and there throughout.

Not only have most of the examples used in Part A been specifically constructed to illustrate certain grammatical points, but they have generally been restricted to a special type of sentence, the informationally unmarked basic sentence (see Section 2.5). Not until the last chapter of Part A did we acknowledge that the elements of a sentence can be combined in a number of different ways. The different combinations that we select as speakers/writers in the communication process are motivated by considerations of style rather than grammaticality. Sentences that show variation between active and passive, cleft and noncleft and so on are all equally grammatically acceptable, in contrast to the unEnglish ordering of, for example, N Dv Adj in the NP *dog the black.* Our choices here are motivated rather by such matters as register

appropriateness and the need to create a good flow of information between the separate sentences. It will be primarily such choices that will concern us in Part B.

Before turning our attention to how texts are created, we must, however, introduce an important digression. In 'real-life' texts, both spoken and written, we often encounter 'fuzzy' areas: structures that contemporary grammarians label variously 'sentence fragments', 'non-sentences', 'irregular sentences' or minor sentences. Despite the typical grammar books' avoidance of these, such language structures are extremely common; in fact, they dominate some of the registers that are most familiar to the average person, notably informal conversation and newspaper 'headlinese'. We will be encountering many of these in the texts discussed from now on.

9.2   Reconsidering Sentences

At school, from the time when students begin to write factual texts, they are urged not to produce so-called 'sentence fragments' – incomplete sentences, usually in the form of subordinate clauses or prepositional phrases but punctuated as separate sentences:

> *He'll be in hospital for quite a bit longer.* **At least another week.**

Such 'sentence fragments' are usually easy to 'correct' by altering the punctuation or supplying a missing main clause. In certain registers, for example advertisements, such sentence fragments may be used deliberately to reflect the intonation of casual speech:

> *… soon the time came to pack the day away.* **Until next weekend, anyway**. [C]

> *In the Army, you gain* **… Which are qualities that are always in demand**. [D]

> **Neat … Which reveals more about the constituency than the candidate. Only in America.** [I]

As well as the advertisement for the old classic movie, *Jaws*:

> **Just when you thought it was safe to go back into the water.**

In Section 7.1 we observed that the notion of sentence poses problems for the analysis of spoken language, which is not readily analysable into the structures and constituents normally expected of a sentence. To the general public, a sentence has reality either as a semantic unit (as 'the expression of a complete thought'), or as a punctuationally defined unit (one that begins with a capital letter and ends with a full stop). Nevertheless, it is obvious that, especially in informal written language, we often find units that are punctuated as sentences, but which are even more irregular than the examples above. The following sections will examine the forms of, and the motivation for, such irregular or 'minor' sentences.

9.2.1 Types of minor sentences

In their form all minor sentences are characterised by reduction. There are three basic types: ellipsis, formulaic non-sentences and irregular sentences.

9.2.1.1 Ellipsis   Constructions characterised by **ellipsis** involve the omission of various obligatory clauses or phrase elements, which must be recoverable in their precise form from either the immediate context, or the surrounding text (**co-text**), or on the basis of our knowledge of the grammar of English. Ellipsis may involve the omission of a main clause, as in the above example from *Jaws.* It may also involve the omission of various clause elements. Thus, in addition to the ellipsis found in coordinated and comparative constructions (see Sections 7.2 and 7.3.4), and to the expected omission of subject *you* in imperative clauses, other normally obligatory constituents may be omitted. For example, in informal dialogue responses are often drastically minimal. (The following examples are all taken from recent personal exchanges.)

1. *Are you ready?* ***In a minute****.*
   Well, where are you? ***Coming****.*

In the following examples, the common response *'cause* and the comment *Stupid buses* are so cryptic that interpretation can be achieved only on the basis of shared knowledge.

2. *Why are you so grumpy?* ***'cause.***
3. A: *Hi!* ***Off again? Where to now?***
   B: ***Rehearsal … Gotta rush … Stupid buses …***

In some written genres – postcards, diaries, telegrams and personal letters – NPs in subject function, auxiliary verbs and other closed class items such as determinatives and prepositions are typically omitted. In instructional writing, for instance recipes, NPs in object function may also be omitted if predictable from the preceding text. Headlines tend to omit the copula *be* as well as other closed class items (see for a detailed discussion of headlines):

4. (Note on fridge)
   Gone fishing. Back Monday.

5. (Newspaper headlines)
   Girl happy to help homeless
   Noah way ark exists: scientist
   Theory on health not watertight

6. (From a recipe)
   Beat whites with half the sugar till stiff and set aside.

Below are some possible 'restored' versions, with the recovered constituents in boldface and with relevant labels.

> It is both less cumbersome and more elegant to use the labelled bracketing analysis rather than the tree analysis with short examples such as these. Likewise, any detail not pertinent to the issues directly under examination here (e.g. adjuncts) will be omitted.

1a. $_{NP}^{S}$(**I**) $_{VP}^{P}$(**will be**) $_{AdjP}^{PC}$(**ready**) *in a minute*

    $_{NP}^{S}$(**I**) $_{VP}^{P}$($_{Aux}^{M}$**am** *coming*)

2a. $_{NP}^{S}$(**I**) $_{VP}^{P}$(**am**) $_{AdjP}^{PC}$(**so grumpy**) *because …*

3a. [*Hi!* [$_{VP}^{P}$(**Are**) $_{NP}^{S}$(**you**) *off again?*] [*Where* $_{VP}^{P}$(**are**) $_{NP}^{S}$(**you**)

    $_{AdvP}^{Cx}$(**off**) *to now?*]

    [$_{NP}^{S}$(**I**) $_{VP}^{P}$(**'m going**) $_{PP}^{A}$(**to a** *rehearsal*)] [$_{NP}^{S}$(**I**) $_{VP}^{P}$($_{Aux}^{M}$**'ve got to rush**)]

    $_{NP}^{S}$($_{Dv}^{Dr}$**These** *stupid buses*) $_{VP}^{P}$(**are**) $_{AdjP}^{PC}$(**so unpredictable**)]

4a. $[_{NP}^{S}(\textbf{\textit{I}})\ (_{Aux}^{M}\textbf{\textit{'ve gone}})\ \textit{fishing}]\ [_{NP}^{S}(\textbf{\textit{I}})\ _{VP}^{P}(\textbf{\textit{will be}})\ \textit{back}$

 $_{PP}^{A}(_{Prep}^{Rel}\textbf{\textit{on}}\ _{NP}^{Ax}(\textit{Monday}))]$

5a. $_{NP}^{S}\,_{Dv}^{Dr}(\textbf{\textit{A}}\ \textit{girl}\,)\ _{VP}^{P}(\textbf{\textit{is}})\ \textit{happy to help}\ _{NP}^{O}\,_{Dv}^{Dr}(\textbf{\textit{the}}\ \textit{homeless})$

 $[(_{NP}^{S}\textbf{\textit{There}})\ _{VP}^{P}(\textbf{\textit{is}})\ \textit{Noah}\ \{\textit{i.e., no way}\}\ _{VP}^{S}\,_{Dv}^{Dr}(\textbf{\textit{the}}\ \textit{ark})$

 $\textit{exists:}\ (_{Prep}^{Rel}\textbf{\textit{according to}})\ _{NP}^{Ax}\,_{Dv}^{Dr}(\textit{a scientist})$

 $_{NP}^{S}\,_{Dv}^{Dr}(\textbf{\textit{The}}\ \textit{theory on health})\ _{VP}^{P}(\textbf{\textit{is}})\ \textit{not watertight}\ ]$

6a. $\textit{Beat}\ _{NP}^{O}\,_{Dv}^{Dr}(\textbf{\textit{the}}\ _{N}^{M}\textbf{\textit{egg}}\ \textit{whites})\ \textit{with half}\ (_{Prep}^{Rel}\textbf{\textit{of}}\ _{NP}^{Ax}(\textit{the sugar}))$

 $\textit{till}\ _{NP}^{S}(\textbf{\textit{the egg}}\ \textit{whites})\ _{VP}^{P}(\textbf{\textit{are}})\ \textit{stiff and set}\ _{NP}^{O}(\textbf{\textit{them}})\ \textit{aside}$

Block language, a special form of language found in public notices, product labels, and dictionary and glossary entries, often involves reduction to a single NP. The shorter items are often printed entirely in capital letters and lack neutral punctuation such as full stops. Note, however, that marked and emotive punctuation, such as exclamation and question marks, may be used, e.g. *Warning!*

9.2.1.2 Formulaic non-sentences   The items in this category are extremely reduced in form, often consisting of one word only and commonly using forms not in general use in present-day English. All of these items, however, are frequently used in everyday conversation. The two main subcategories here are 'phatic' and 'poetic' (see Chapter 10 for a more detailed discussion of these terms).

The term 'phatic', as in **phatic communion** or 'phatic communication', was first used in the works of Bronislaw Malinowski (1884–1942), British anthropologist and founder of the functionalist school of social anthropology. He proposed that not all language is used for communication of content. With some communication

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> it is the establishment and maintenance of relationships that is of primary importance. Such communication can be verbal or nonverbal, its orientation towards social contact, as in small talk, exchanges about the weather and ritual expressions like *How do you do?*

Phatic uses of language include:

- Greetings, exclamations, apologies, congratulations and expletives:
  Hi! Great movie! Appalling! Sorry. Shit!
- Conversational 'continuatives' and discourse particles:
  Absolutely! Indeed! Sure! Try me! Will do. Not at all. Well … Now …
- Commands, offers, inquiries:
  Hands on heads! Back to bed! Taxi! My turn? Another coffee, please!
- Totally idiomatic expressions, such as:
  How come? Guess what!

With the **poetic** function, the primary orientation is towards the form of the message, that is, the focus is on the message 'for its own sake', as in the playful uses of language found in proverbs, mnemonics, slogans, advertisements and, of course, poetry. However, it is important to note that the term 'poetic' in this context does not necessarily refer only to works that we would normally class as poetry. Its sense here is much broader; it involves any use of language that is creative and memorable. The factor of memorability contributes to the poetic function often being present in examples of preliterate language such as proverbs, as well as having become vital in present-day advertising and in political sloganeering of all times (e.g. the famous triad *I came, I saw, I conquered*, attributed to Julius Caesar).

Many of the expressions in the poetic category are also highly reduced in form. However, it is their deliberate use of 'poetic devices' such as parallelism, rhyme and alliteration that is their main distinguishing feature. Examples are:

- Proverbs: *Better late than never. More haste, less speed. No pain, no gain.*
- Slogans: *The more you spread, the more you spread.* (weight loss brochure)

- Advertising: A little dab'll do ya! Don't leave home without it! Go to work on an egg!
- Road safety signs: *Drowsy drivers die. Stop Revive Survive. Ease up, don't smash up*.

9.2.1.3 Irregular sentences   Irregular sentences are constructions that appear to be regular in their surface form, but which are not subject to the grammatical processes typical for regular sentences. Miscellaneous expressions, usually informal in nature and well established historically, appear to be normal, well-formed sentences, as in *Go to hell.* In this example, in keeping with the regular construction of imperatives, there is no subject element, but it is not reduced in any other way. It is, however, irregular; we are not able to vary it in any of the ways available to normal sentences in English: it cannot reverse its polarity (e.g. **Don't go to hell*); nor can we substitute any other verb in the structural paradigm (e.g. **Come to hell*), although there are parallel expressions that involve a change in the NP, such as *Go to the devil* and *Go to blazes.*

An additional category includes expressions that have become 'ossified'; that is, preserved in the language for a long period of time, and enshrining linguistic usages that have since become obsolete. Many of these involve the **subjunctive mood**, a mood additional to those described in Section 6.4 (the declarative, the imperative, the interrogative and the exclamative) and used in older forms of English to express actions with uncertain outcomes, as in wishes and hypothetical statements. Modern English preserves a few relics of the subjunctive mood in 'volitive' sentences such as *Bless you! God forbid! So be it!* The use of the subjunctive mood in subordinate clauses is discussed in Section 7.3.1.

9.2.2   Functions of minor sentences

There are a number of reasons why minor sentences should be regarded as pragmatically preferable to their expanded counterparts. Most minor sentences are produced in informal situations, where the immediate presence of the participating parties presupposes shared knowledge of the context. We could therefore invoke the 'principle of least effort': informal situations encourage us to 'take it easy'. Thus, we readily use and accept phonetic processes resulting in, for example, the blend *gotta* and morphological processes resulting in, for example, the clipping *flu* (from *influenza*).

Newspaper headlines, road signs, labels and public notices are usually restricted in space and, importantly, often need to be read and understood at a glance. It makes sense therefore to omit any easily predictable and consequently redundant words. Moreover, the abbreviated versions are an effective way of presenting material that needs to attract immediate attention or be memorised with relative precision. They come directly to the point, may be more intriguing than their expanded counterparts, and often exploit other linguistic resources that promote easy memorisation: balance, parallelism, word play and sound effects such as alliteration and rhyme. Consider the expanded versions of labels such as *Poisonous drug – do not ingest* (*This is a poisonous drug – do not ingest it*) or road signs such as *Wrong way, go back* (*You are going the wrong way, go back*) or *No Entry* (*This is not the entry*). In all such cases, the expanded version is less effective than its minor sentence counterpart, as the omission of predictable items enables the 'new information' (see Section 8.1) to be foregrounded and become the focus of the communication unit.

9.3   Cohesion

In Section 1.8, we introduced the terms 'text' and 'textuality', 'cohesion' and 'coherence'. It is possible to identify a number of cohesive 'devices' that interact closely and simultaneously to provide 'textuality'. On the 'macro' level these include deictic, generic and logical 'signposts', which contribute to the overall shaping of a text. On the 'micro' level, cohesion is achieved by coreference, substitution and ellipsis, the use of connective words and phrases, and the various patternings of lexis, sound and visual effects. This section will present in some detail the various categories of cohesion, while Section 9.4 will present analyses of the cohesive patterns in several extended texts.

9.3.1   Text orientation

Most language-in-use contains deictic items that enable readers/hearers to find their bearings by situating the utterance in both its context and its co-text, indicating who is doing what and to whom, and under what circumstances, and at what given point in time. So, a lecture is likely to begin with, for example:

> **Today I** *would like to* **begin** *the detailed analysis of …*
> *In* **this** *lecture we are going to* **continue/complete** *…*
> **You** *will remember that* **last** *week* **we/you began** *…*

English contains a number of such deictic items:

- *Participant identification:* The first and second person pronouns are commonly used deictically to establish the speech participants' identities. The third person pronouns may be used deictically to refer to entities outside the text. This deictic use of personal pronouns is to be distinguished from their anaphoric or text-internal use, that is, as 'coreferential pro-forms' (see Sections 3.3 and 9.3.3). In formal writing pronominal participant identification is often avoided as it is considered to be too personal and not sufficiently precise (e.g. ***The management*** *regrets any inconvenience during repairs to the premises*). In diverse registers such as telephone conversations and legal writing, participant identification tends to be very precise (*e.g. Hi, Mary? It's Sue*; *We, the undersigned, declare …)*, albeit for rather different reasons.

- *Place and time indicators:* The meanings of adverbs such as *here*, *there*, *now*, *then* and *today* are entirely dependent on one's knowledge of the context in which the text is situated. The *here* and the *now*, with reference to the present time and the place where this book is being written, will be totally different for us, the writers in this very instance, and you, each future reader and your particular situation when you read it.

- *Temporal ordering expressions:* Certain adjectives, adverbs, ordinal numerals, PPs and NPs provide temporal ordering, previous to or subsequent to or concurrent with a given time reference. Examples include:

  Adjectives: *former, previous, following, earlier, later*
  Adverbs: *already, then, meanwhile, lastly, finally, initially*
  Ordinal numerals: *first, second, one-hundredth, next*
  PPs: *before this, until now, by now*
  NPs: *this week, next year, last Tuesday*

  Likewise, verbs like *begin* and *continue* presume some temporal ordering.

- *Tense and aspect:* As we have seen in Section 4.3, the various tenses and aspects of English are used to relate events and situa-

tions to particular points in time and to express a range of further temporal meanings. For instance, the present tense is used not solely for activities that are simultaneous with the moment of utterance but also for events that happen 'habitually' (e.g. *I had forgotten that they **get** up very early*) or are recalled in a particularly vivid way, 'the historic present' (as in *There I was, minding my own business and they **rush** out and **start** shouting abuse at me*).

In addition to situating one's text within particular settings, texts usually exhibit patterns specific to their genre. This involves the use of various 'signposts' relevant to the genre to which the text belongs. For example, we often introduce sections of discourse with well-known generic openings, which enable our audience to predict what is to follow:

> *Knock knock*
> *Did you hear the one about … ?*
> *Once upon a time …*
> *Unaccustomed as I am to public speaking …*

Appendix G, for example, written to suggest a fairy tale, begins with '*A herdsman one day …*', the indefinite temporal ascription that is common in this genre. (Further material on this topic is to be found in Chapter 10.)

- Written language of all kinds also exhibits patterning to make it more accessible to readers. Non-fiction texts are broken up into manageable 'chunks': chapters, subsections, paragraphs. Verse is arranged in lines and often stanzas. Other visual aids may be the use of bullets, different kinds of font, and inset boxes. Compensating for the absence of intonation, we may resort to such tricks as 'shouting' in capitals and the use of 'smiley' faces (:-)), as found on the internet.
- Spoken language is typically organised dialogically, for instance in 'adjacency pairs' (pairs of dialogue exchanges), and signposted with various conversational continuatives or 'discourse particles', such as *well*, *now* and *oh*, as well as other interactive elements, such as *you know*, *I mean* and *you see.* These items may indicate the speaker's intention to continue as well as involving the hearer in the communicative process. Typically, for example, *well* is used in dialogue to play for time or as a show of reluctance, *now* is used to indicate a new incident or argument and is often common in

extended monologues, such as university lectures. Note that these items, when used cohesively, are often phonologically reduced, in contrast to their use with full lexical status.

Different genres will tend to feature distinctive types of logical progression:

- Instructional texts as well as typical narratives and descriptions tend to introduce new material in a logical, often chronological, sequence (as in a recipe: *First take … then add … and then …*)
- Information or expository texts tend to introduce one main point at a time and discuss various factors associated with it in a balanced manner. So, a formal discussion may use phrases like *On the one hand … on the other hand.* A paragraph from a textbook is likely to introduce the topic in a topic sentence or subheading, and discuss each ensuing point in separate 'bullets' or subsections. Another technique is to create a chainlike effect between the focal, or 'new', information from one clause and the topic of the following clause. For example, *I read **a most interesting book** last week. **It** was about …*
- Some texts may choose to meander exploratively from one point to another, often acknowledging their digressiveness explicitly, e.g. *By the way …*
- Other patterns of text development include moving from the general to the particular or vice versa, backtracking to make one's intention clear, or summarising the points made up to that stage. Special adjuncts employed for these purposes include *in effect*, *in particular*, *generally speaking*, *let's recap.*

Most large texts will employ a number of different strategies, at any given point selecting those that seem most appropriate to the matter at hand.

9.3.2   Information 'packaging'

As well as using explicit orientation devices to guide the hearer/reader through a text, we can also facilitate the progress by varying the way in which we package the information within the sentence. All language, whether spoken or written, is linear in time and space: we must begin somewhere and proceed one item at a time. In Chapter 8 we stated that

there is a strong tendency in English for topic expressions to appear early, while focal and complex, more lengthy items tend to appear later within the structure of a sentence. In speech this tendency to begin with the known, 'given' information and lead towards the unknown, 'new' items is supported by stress, rhythm and intonation. Informationally marked (unusual, less expected) structures, such as topicalisation, cleft and passive voice, are used in order to compensate for such prosodic features, as they cannot be reflected in writing. Also, marked information structures can strengthen a text's cohesive force by bringing compared or contrasted items closer together and by deliberately drawing attention to those items. Examples include:

- *Topicalisation:*
  I don't mind large dogs, **but tiny lap dogs I can't stand.**
  You'll need a warm coat for Europe. **In London it would be most unusual to need one.**

- *Cleft:*
  Paul is my older son. **It was he who … But it was Dave, the other one, who …**
  Plus the Army will pay for you to study … **It's not just the academic skills that can give you an edge either** [D]
  It is one of the design features of language … **It is this which enables human beings to be proactive rather than reactive …** [K]

- *Passive:*
  John hit Paul with all the strength he could muster. **Paul had been hit many times before, but he was caught off guard.**

Active and passive structures allow us to change our perspective on the 'actor' and the 'patient' by alternating them in the topic position. Such alternation may produce the chainlike effect mentioned in the preceding section; that is, the 'new' item (Paul) is immediately picked up as the 'given' in the following sentence and the pattern may be repeated a number of times in the text.

To further demonstrate this chainlike effect, let us consider the following sequence in Appendix J. The sixth paragraph from the end introduces as its subject *professional scientists and engineers surveyed* and then refers to them in the same sentence with the pronoun

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> →
> *they* in *they regularly worked unpaid overtime*. The following paragraph changes our perspective. The grammatical subject is now *those who refuse to work these hours* and the agentless passive is used, in other words *those who refuse … will often be passed over* by *the scientists and engineers* of the preceding sentence.

9.3.3   Grammatical cohesion

The cohesive devices described in this section are referred to as 'grammatical', in so far as they involve either grammatical items, such as closed class words, or grammatical categories such as definiteness and comparison. Chapters 3, 4 and 5 have already introduced a number of the items discussed below.

Cohesion may be achieved through the use of **pro-forms** (the grammatical items that may be either coreferential or substitute). If the reference is to the same item as in the co-text, the link is said to be coreference; in substitution the pro-form refers to a similar but different entity, that is, a different token of the same type. If the linkage is by ellipsis, all mention of the original item is omitted the second time. To illustrate:

1. A: ***That book*** [original reference] *you lent me over Easter – where did you buy **it*** [co-ref = *that book*]*? 'Coz I'd like to get **one*** [substitution = *another copy of that one*] *for myself.*
   B: ***It*** *wasn't mine, but you can get **one** at the Co-op. Would you mind getting me another **one** too?*
   A: (i)   *Sure, I'd love to* [ellipsis = *get you a copy*].
      (ii) *OK, will **do*** [ellipsis = *I*; substitution *do* = *get you a copy too*].
      (iii) *Of course **not*** [ellipsis *not* = *I wouldn't mind …*]

In anaphoric reference, the pro-forms point back, referring to items already mentioned (see 3 below). Forward reference, also known as **cataphoric** (see 2 below), is much rarer. Examples of *this*, used in these two different manners below, are found in 'Mysteries' (Appendix G):

2. *In a version from the Austrian Tyrol, it runs like **this** …*
3. *Fairy stories like **this** …*

Note that the original referent item must be found in the co-text, not the context. Many of the pro-forms, especially personal and demonstrative

pronouns, are also commonly used deictically (see Section 9.4.1) and as such are not cohesive.

Grammatical cohesion is characterised by reduction – the maximally reduced option, ellipsis, generally being chosen whenever it is possible, especially in informal speech. The effect of such reduction is, in part, to avoid repetition and redundancy, and in part to force us to seek out for ourselves, in the adjacent text, the precise referent for the missing or vague items. Topics are often pronominalised: in fiction, protagonists are usually referred to by personal pronouns; in non-fiction, pronoun reference is often made to sections of discourse rather than to concrete entities (as in 2 and 3 above).

> Not all abbreviation is cohesive, for instance see the categories other than ellipsis discussed in Section 9.2. Nor is all repetition to be avoided. Many 'poetic' cohesive devices (see Section 9.4.6) are based on repetition of phonological and syntactic patterns, and lexical repetition (see Section 9.4.5) is also a strongly cohesive strategy.

Note: The following lists are selective.
Coreference pro-forms:

- Personal and reflexive pronouns: *I, you, he, she, myself, yourself, himself, herself*
- Possessive pronouns and determiners: *mine, yours, his, hers, my, your, his, her*
- Demonstrative pronouns: *this, that, these, those*
- Definite pronoun/determiner: *such*
- Definite adverbs: *here, there, then*

Substitute pro-forms:

- Indefinite pronouns: *one*(*s*), *some, any, none, another, other*(*s*), *either, neither, several, enough, each, all, half, few,* (*a*) *little, many, much*, and the comparative and superlative forms of the last four items
- Demonstrative pronouns: *that, this, these, those*
- Pro-verb: *do*

- Clausal pro-forms: *so*, *thus*
- Comparison items: *the same*, *likewise*, *similarly*
- Complex pro-forms, combining several categories: *do so*, *do likewise …*

There are a number of important differences between coreference and substitution:

- As stated above, coreference pro-forms must refer to an identical item in the co-text, while substitution pro-forms refer to another item of the same type. Comparison and contrast provide textual cohesion by substitution.
- Coreference pro-forms are always pronouns or pronoun-related adverbs; that is, they always refer to NPs. Substitution pro-forms do not have to be pronouns; substitution can, in principle, replace any kind of constituent, verbal or clausal as well as pronominal. The verbal substitute *do* must always be the main verb. Compare the following:
  (i)   *John has **done** an excellent job.*
  (ii)   ***Did** John work hard?*
  (iii) *John worked harder than he'd ever **done** before.*

  In (i) *do* is a main verb, head of a VP, but it is not a pro-form as it does not substitute for any other verb. In (ii) *do* is an operator, used to satisfy the requirements of an interrogative construction. Only in (iii) is *do* a pro-form, a substitute serving to avoid the repetition of *worked.*

  The predicative pro-form *so* and its negative equivalent *not* can substitute for an AdjP or an NP functioning as a complement, as well as for a *that*-clause in direct object function (e.g. *He was tall and so is his brother*; *I was told **so/that** … ; I believe **not/that** …*).

- Coreference pro-forms are always definite. Note that one of the main functions of the definite determiner *the* is to provide cohesion. By contrast, many substitute pro-forms are indefinite quantitative pronouns, that is, pronouns used to express an indefinite amount or quantity, such as *some*, and *several.*
- While coreference pro-forms must allow the original item to be restored in its exact form, substitution allows for such variation as contrastive polarity or difference in number.

There are two substitute pro-forms *one*, one taking *some* as its plural and the other taking *ones*. *One/some* is a substitute for an indefinite NP, as in:

A: Can you buy me a few apples? I feel like **one**.
B: I'll get you **some** this afternoon.

One/ones is a substitute for a sub-part of the referents of an NP. *One/ones* functions as the head of the NP and must be accompanied by at least one determiner or modifier, as in:

*I must get us **a good knife**? We don't have **any sharp ones***

Little needs to be added here regarding ellipsis, as we have already fully discussed it in Section 9.2. Its distribution parallels substitution: ellipsis can be nominal, verbal or clausal. In the following examples, the caret (^) is used to indicate the site of the ellipsis. Medial ellipsis usually omits verbs; for instance *Usually Paul drives the Saab and I ^ the Toyota.* In some cases the main verb and some of its complements may be omitted; for instance, *We haven't seen it yet, but we will ^ by the end of the month.* In finite clauses, ellipsis is usually final, leaving out as much of the predicate as possible. Typically, only the subject and the predicator remain. Elliptical NPs, especially if contrastive, also commonly result from final ellipsis, with heads and postmodifiers tending to be omitted. For example:

My own camera, like Peter's ^, is Japanese.

The numerous instances of verbal ellipsis in Appendix H, 'The Sun Rising', stanza 3, have already been discussed in Section 6.5.

9.3.4   Logical connectors

The 'logical' items discussed in this section (coordinators, subordinators and connective adjuncts) are usually treated as markers of grammatical cohesion. There are, however, important differences between these and the grammatical items discussed in Section 9.3.3. Unlike pro-form and ellipsis, where a previously mentioned entity or predication is

linked to a later mention of the same, and where this later reference is at best vague or else altogether missing from the surface structure of the text, relationships brought out by logical connectors are both precise and explicit. Thus, this category is in some ways closer in behaviour to lexical cohesion (see Section 9.3.5).

Four different types of logical connections may be recognised: additive, adversative, causal and temporal. As already discussed in Chapters 5 and 7, coordinators and subordinators generally operate within a sentence. The logical connectors listed below may be adverbial phrases or closely related prepositional phrases and typically operate to link together separate sentences. These are much less strongly incorporated into the structure of the sentence of which they are a constituent, functioning as peripheral dependents. They are mostly placed initially in the sentence, foregrounded to stress their cohesive function, and are usually separated by a comma from the rest of the clause. A selective list follows:

- Additive: *and; besides, furthermore, in addition*
- Adversative: *but; however, nevertheless, despite this*
- Causal: *for; consequently, as a result*
- Temporal: *while; previously, subsequently, after that*

9.3.5   Lexical cohesion

Lexical cohesion, which reinforces the unity of a text by repetition of its key words and concepts, is a very strong, and obvious, form of cohesion. With lexical cohesion, the topic of discussion is established and maintained by overt reference to items associated with it; whereas in the case of pro-forms, the reader/hearer must seek out in the adjacent text the original item with which the pro-form is coreferential. For instance, items related to cooking are used in a recipe, while linguistics-specific metalanguage is used in this book.

A word may be repeated in its exact form or a derivationally related word, for example *friend*, *friendship*, *friendly*, may be used. Alternatively, the concept may be reiterated by the use of a synonym or another sense-related word. Linkage by the exact repetition of forms may become obtrusive and tends to be avoided. Instead, handbooks on style recommend 'elegant variation'; that is, the use of synonyms, as in *start*, *begin*, *commence.* Note, however, that in some registers, for example legal language, where misinterpretation is of greater concern than elegance of style, exact repetition is tolerated and even encouraged.

One basic sense relation that develops **lexical sets** is inclusion (**hyponymy**). A hypernym is a superordinate word or phrase with a general meaning, for instance *flower*, and can be said to include a number of more specific terms, hyponyms (e.g. *rose*, *iris*, *lupin*). *Bed*, *table*, *chair* are said to be co-hyponyms of the hypernym *furniture.* Often serving as hypernyms are 'general nouns' – basic categorisers such as *person*, *child*, *people*, *creature*, *thing*, *place* and 'summary words', which refer to whole slabs of text or context material, for instance *situation*, *matter*, *question*, as well as the vague and whimsical *thingamajigs* and *gismos* we rely on in times of conversational pressure.

Other important sense relations that need to be specified here are synonymy and antonymy, synecdoche and metonymy, and collocation. Like hyponymy, all these are based on particular kinds of association: **synonymy** and **antonymy** on similarity and contrast, **synecdoche** and **metonymy** on part/whole relationships, and **collocation** on the habitual association of various structural and lexical forms. Words that are synonymous share only a basic denotative core of meaning, but are rarely used in identical situations; for example, we *climb a mountain*, *ascend to the throne* and *mount a horse* or *an expedition*. Synonyms also tend to differ in their connotations. Consider, for example, the differing levels of formality associated with *start*, *begin*, *commence* and *embark upon*. Antonyms are words belonging to mutually exclusive categories. Three different forms of contrast can be distinguished:

- Gradable antonyms operate on a continuum, for example *hot*, (*warm*), *cold.*
- Complementary antonyms share an either/or relationship: a person is either *dead* or *alive*, *pregnant* or *non-pregnant.*
- Finally, converse, or relational, antonyms exist by virtue of each other, for instance *give* and *take*, *buy* and *sell*, *parent* and *child.* (Of course, we are perfectly able to subvert these, especially for humorous effect, as in *I am half dead*, or *half asleep, she is only a little bit pregnant.*)

Synecdoche and metonomy are figurative devices deriving from Greek and Latin rhetorical usages and are still used extensively in political discourse and journalese. Synechdoche involves the use of a part of something to represent the whole, the whole for a part, or any subcategory to stand for the whole category; for instance, *Lend me a hand*, *a head of cattle*, or the so-called 'gender neutral' use of *man* to represent all human beings, male and female alike. Historical power

structures represented by the use of geopolitical names such as *Russia* and the *USA* can lead to confusion and give offence. Metonomy represents a similar but more general association, where the name of one thing is used figuratively for another, as in *the Crown monarchy*, *the White House = the president of America*, *Canberra = the government of Australia*. Again, these terms are common in journalese. But consider also some slang metonyms; for example, terms for police officers: *cops* (from the copper buttons on the uniforms of early policemen), *bobbies* (after Sir Robert Peel, the prime minister at the time the early police force was established), or *the law*.

Collocations may present a particular problem in that they tend to be idiomatic and must be learnt in their exact form: *it rains <u>cats and dogs</u>* not *dogs and cats*, we say *to and fro* not *to and from*, and butter may be *rancid* but not *rotten.*

As in the case of other cohesive relationships, different types of lexical cohesion tend to be associated with different registers. For example, science textbooks and technical journals in particular favour the use of hyponymy, metonomy is a favourite of journalists, while persuasive material often depends on antonymy in order to create and emphasise a sense of both contrast and inclusion, for example:

Men and women of Australia
Whatever the weather, hot or cold

9.3.6   'Poetic' features contributing to cohesion

The 'poetic' function of language, as described by Roman Jakobson, will be more fully discussed in Section 10.2.1. However, a number of those features of language that are used for the sake of the pure enjoyment of form – repetition of sounds, parallelism of structures, novel uses of words – provide an additional level of textual connectivity. Many such devices had been designed by ancient preliterate societies to aid accurate retention and effective communication of important historical and ritual material, such as genealogies and legal details, prayers and expressions of collective wisdom.

Poetic devices exist at every level of language. Phonological repetition, such as alliteration and rhyme, is used to draw attention to linked meanings, and to make these associations easier to remember. Alliteration, especially, is used extensively in advertisements, political speeches, newspaper headlines, proverbs, and product and shop names. More overtly

playful material, such as tongue-twisters and nicknames, is another fruitful area for these devices. Some examples are: *Tiny Tim*, *Big Ben, Dead as a dodo/doornail*, *Look before you leap*, *Pasta Pantry*, as well as various informal reduplicative words such as *mishmash, zigzag* and *walkie talkie.* Cohesive force can be created by word play and by structural parallelism. *Cancer is a word, not a sentence* illustrates both. Other examples are *Out of sight, out of mind* and *Garbage in, garbage out*, as well as shop names such as *A Cut Above* and *The Head Quarters* (both for hairdressers). A particularly important poetic device is triadic parallelism as it creates an impression of order and regularity and effectively leads us to a sense of accomplishment and climax. Some well-known triads are *thesis/antithesis/synthesis*, *Liberty, Equality, Fraternity* and *government of the people, by the people and for the people*, but many examples can also be found in everyday language use (e.g. *animal, mineral or vegetable*; *ready, steady, go!*).

9.4   Analysis of Cohesion in Sample Texts

To illustrate how the various cohesive patterns outlined in Section 9.3 operate over a considerable stretch of 'real language', let us turn to three very different texts.

Our first example, Section 9.1, has been deliberately constructed as a transitional passage between the two separate parts of this book, forming a bridge between Part A, with its primarily sentence-internal grammatical orientation, and Part B, dealing with problems and strategies associated with developing and structuring longer texts. The contrasts between Parts A and B are evident at every level of Section 9.1 – word, phrase, sentence and paragraph. These contrasts are brought out by the explicit grammatical parallelism of the opening words of the first paragraph, *In the preceding chapters*, and those of the second paragraph, *The main concerns of this part of the book* and are followed by further juxtapositions of:

> *grammatical possibilities* with *(text analysis)*
> *'below' sentence level* with *'above' sentence level*
> *sentences specifically designed* with *'real-life' texts*

Note that the inverted commas and structural parallelism emphasising the semantic opposition of the complementary antonyms *below* and *above* show that several cohesive devices may be exploited concurrently.

The tense and aspect of the verbs further reinforce the contrast between Part A and B: in the first paragraph *have dealt*, *were concerned*, *have … used*, in the second paragraph *are*, *will be using.* The temporal adverbs *usually* and *always* comment on the practice followed up to this point, while *on the other hand* in the second paragraph explicitly flags the contrast that is being discussed between the sentence-level and the text-level approaches.

While the first and second paragraphs have led us through the macro-issues of grammaticality and stylistic variation, the third paragraph needs to point us to the business of the next section (Section 9.2). The contrasts explicitly set up in the third and fourth paragraphs therefore centre on the word *sentence*, first, juxtaposing the informationally unmarked sentences with those that are informationally marked, and second, introducing the digression to be dealt with in Section 9.2, that is, the contrast between sentences and non-sentences.

Throughout Section 9.1, specific devices are used to establish text orientation. The heading 'Some Preliminary Considerations' identifies the section's content and is generic to an academic or pedagogic text. Participant identification is via the exclusive *we*, that is, *we, the authors*, not *you, the readers*, and *we, the authors*, again in keeping with texts such as this. A number of specific items identify the contrast: demonstratives *in these chapters*, *those chapters*, *this part of the book*, the adjective *preceding*, pro-forms *such* and *this*, the PPs *throughout Part B*, *in Part A* and *in the Appendices.* A number of adjuncts suggest logical progression: *on the other hand*, *furthermore*, *in particular*, *in fact.*

Several marked clause constructions contribute cohesive effect:

- Extraposition: *it is important to note that …*
- Cleft: *it will be primarily such choices …*
- Passive: *our choices here are motivated rather by …*

Section 9.1 also exhibits a considerable degree of lexical cohesion:

- The topics of grammar and style are established by a number of hyponymic sets. For example:
  grammar: *morphology*, *syntax*
  inflectional forms: *singular/plural*, *present tense/past tense*
  elements below sentence level: *words, phrases, clauses*

  There is one instance of a general word, *issues.* Another set of words, *jokes*, *proverbs*, *conversation*, *headlines*, points to the fact that this part of the book will deal with 'real-life' texts.

- Contrasts are developed through the antonyms *same/different, extended/short, spoken/written, active/passive.*
- There is full repetition of important items *different*, *choices*, *structures.*

While the material just examined is a section of an academic text, and was deliberately constructed to illustrate patterns of cohesion, the second text examined here, 'When Arnie speaks, there's no going back' (Appendix I) has no such conscious purpose. Ruth Wajnryb's weekly weekend column in a leading Sydney newspaper was primarily designed as an entertaining commentary on language and culture. In this instance the column depicts the well-known taciturn speaking style of Arnold Schwarzenegger, in his second incarnation – as governor of California. Because of the writer's tendency to switch between parodying Schwarzenegger's simple language and her own academic and erudite choice of words and syntax, the column has, on first reading, a disjointed, uneven feel. There are ten short paragraphs in a text of one and a half pages, ranging from two to five lines. Some sentences are almost minimal in length – SP only in the opening sentence (*Californians have voted*) and again in the last paragraph (*They voted. He won.*) The style of the text is very casual – there are many minor sentences (*Neat* in the last paragraph), dashes, exclamation marks, direct forms of address (*you click on …*) and imperatives.

However, virtually every type of cohesive device is represented in this text. We see explicit temporal ordering expressions *One, Second* and *Third* in paragraphs 3, 4 and 5. *But* and *And*, logical cohesive devices, are used sentence-initially in paragraph 2, contributing to the casual feel of the argument.

Examples of grammatical cohesion abound. Most sentences have cohesive items such as personal pronouns, there is anaphoric use of the demonstrative *This* in paragraph 3, and the determiner *such* in paragraph 4.

The text is further unified by lexical patterning and poetic features. Since this text's topic is 'Arnold-speak', language-related lexis is found throughout. Paragraphs 3, 4 and 5 are particularly rich in words like *syntax*, *subject*, *verb*, *object*, *clause*, *sentence*, *assertion*, *modality*, *question* and *answer*, even *lyrics.*

The variety of poetic features contributing to cohesion is particularly notable in this text. The most obvious feature – alliteration – singles out and underlines the connections between *consistency* and *core*, *predicated*, *promise* and *persona*, *political* and again *promise*, *constituency* and *candidate* – as well as in the delightful assonance – with the use

of capital letters to ensure that the reader does not miss it – of *Actor, Athlete* and *Activist* of Arnold-speak itself. There is use of triadic parallelism in the prepositional phrases of the first paragraph – *From Austrian country bumpkin to champion body builder to governor of California*. Another example is in paragraph 5 – *humility, openness or simply curiosity*. Schwarzenegger himself appears to be a natural with this rhetorical device: the pattern is repeated twice on Arnold's own site: *What is best in Life. Arnold has the answer. Ask Arnold*, and in the next paragraph *Arnold speaks! This is the place to hear it straight from the Oak himself. Hear what he has to say.*

You will be given the opportunity to analyse this text in more detail in the exercises that accompany Chapter 11. We will finish the examination of cohesion here by drawing the reader's attention to the effect of minor sentences. Ellipsis – omission of some of the grammatical or lexical elements that are normally expected – forces readers themselves to create the full meaning, and is thus highly cohesive in effect, but it is particularly the resulting rhythm that these missing elements produce that packs a great deal more punch than the fully expanded versions. Let us look at the final paragraph of When Arnie Speaks.

> *Neat. They voted. He won. Which revels more about the constituency than the candidate. Only in America.*

An exciting combination of Arnold-speak and Ruth Wajnryb.

In contrast to the highly explicit and obviously cohesive texts just examined, our third text, e. e. cummings' poem, 'anyone lived in a pretty how town' (see Appendix A for full text), presents a somewhat disconcerting collage of disconnected images, deviant syntax and minimal punctuation. There are only two full stops (and consequently only two capital letters), but an unexpectedly high degree of parenthesis. In the first stanza alone we find the following irregularities: the adverb *how* in a typically adjectival position, oddly placed preposition *up* and present participle *floating* in line 2 (compare 'with so many bells floating up [and] down') and ungrammatical collocations *sang his didn't* and *danced his did.* Collocative possibilities for *sang his x* and *danced his y* are very limited in English, only *sang his song/aria …* are allowed. (The current entry in the Free Online Collocation Dictionary found no such possible collocation items for *dance.*) Tensed verbs such as *didn't/did* are certainly not acceptable as NP heads.

Moreover, the poem opens with the indefinite pronoun *anyone.* Most pronouns are inherently definite: they stand for particular individuals,

who are identifiable from the context. Beginning a clause with the indefinite pronoun *anyone* suggests two possibilities: either this is a conversational elliptical question (*Anyone know where the cat is?*) or this is a case of *Anyone* followed by a restrictive relative clause (*Anyone who'd lived there would know*).

Both these expectations are frustrated by our text. However, following through the whole set of indefinite pronouns, *anyone* (stanza 1), *no one* (3), *someones and everyones* (5), we can see that, together with the more expected items *women and men* (2 and 9) and *children* (3 and 6), they must form a set of the poem's protagonists. Note that *anyone* is later established as referring to a specific individual by its association with the parallel structure *women and men … cared for anyone (that is, a person whose name is Anyone, perhaps) not at all.* The normal indefinite pronoun reading would have been given by 'they didn't care for anyone at all'. Furthermore, *anyone* and *no one* are revealed to be male and female respectively by the coreferential relationship established with the possessive pronouns *his* (1) and *her* (4). This is confirmed by the relationship set up in (3): *no one loved him more by more*, which suggests 'x loved y' rather than 'he was not loved by any other person'.

Other lexical sets helping to key us into the world of the poem concern the cycles of nature: the four seasons *spring, summer, autumn, winter* (1, 3 and 9) and the cycles of time and weather: *sun, moon, stars, rain* (2, 6 and 9). Notice the mimetic rotation of each set of four items in the different instances of their repetition. The cyclical nature of life is brought out also by the image of the bells (1, 6; and also *dong and ding* in 9); bells being associated with the ringing in of the seasons, and the rituals of marriages and burials. The cycle of life is likewise hinted at in the repeated image of children, forgetting as they grow up something they had known intuitively when young (3 and 6). This is emphasised by the complementary antonyms *up* and *down* (3) and by the figurative meaning of *snow* (6), associated with old age, knowledge and experience. In stanza 7, *busy folk* are at yet another stage in the cycle of life.

As expected of the compression of images associated with poetry, a number of lexical items in this poem have multiple associations:

- *Snow* collocates on the literal level with *rain* and seasons, winter stillness (*stir by still*) and the coming of spring (*bird by snow, earth by april*). On the figurative level, its evocation of white hair and therefore age associates it with wisdom and experience (while children are associated with innocence). Note in stanza 6 that it is *only the snow* [that] *can begin to explain how children are apt to*

forget to remember – paradoxically, since we typically associate old age with forgetfulness, as well as with wisdom.
- *Sowing* and *reaping* relate to the cycles of nature and social activities central to the poem's meaning, but also have connotations of getting one's just desserts ('you reap as you sow').
- When *anyone* dies (7), the *no one* [who] *stooped to kiss his face* is simultaneously the female protagonist, his wife, and also, in its more typical indefinite use, no other person, that is 'no one bothered to kiss him'. This image reinforces the isolation of the lovers from the rest of their community, as suggested by *women and men … cared for anyone not at all, children guessed …* as well as by the indifference implicit in the image *busy folk.*

Once the cycle of life has been proposed as the central motif, other less transparent images can be fitted into this pattern. *Tree by leaf* may imply the autumnal shedding of foliage in parallel with the spring of *bird by snow*, *earth by april* and *stir by still.* Hope, future and rebirth, which are so deeply associated with spring in countries exposed to snowbound winters, may underlie the somewhat perplexing structures *wish by spirit* and *if by yes.* Hopes and dreams, as natural as sleeping and waking, a part of the cycle of life and the meaning of being human, are suggested by *sleep*, *wake*, *hope* and *slept their dream* (5).

The pattern of repeated but rearranged lines of either *spring summer autumn winter* or *sun moon snow rain* appears like a refrain in five of the nine stanzas. The poem employs relatively few rhymes; its principal cohesive device is the repetition of rhythmic patterns. Two other patterns are also constantly encountered and contribute importantly to the poem's unity. These patterns are:

1. Monotransitive (S P O) clauses where a personal pronoun acts as subject and the object NP contains a possessive pronoun, which is often coreferential with the subject.
2. The '*x by y*' pattern, where x and y represent a variety of parts of speech.

A high proportion of both patterns are foregrounded by violating some co-occurrence restriction of Standard English. Instances of the first construction are:

he sang his didn't he danced his did (1)
they sowed their isn't they reaped their same (2)

she laughed his joy she cried his grief (4)
someones married their everyones (5)
[they] laughed their cryings and did their dance (5)
[they] said their nevers and slept their dream (5)
they dream their sleep (8)
[women and men] reaped their sowing and went their came (9)

Instances of the second pattern are:

more by more (3)
when by now and tree by leaf (4)
bird by snow and stir by still (4)
side by side (7)
little by little and was by was (7)
all by all and deep by deep (8)
and more by more (8)
earth by april (8)
wish by spirit and if by yes (8)

It is these two patterns that, together with the lexical set of indefinite pronouns, make this poem both coherent and cohesive. The second set builds on the Standard English pattern of *side by side* and *little by little,* and some of the other variants could be rendered standard with little alteration, for instance *more **and** more* and *tree **by** tree* or *leaf **by** leaf*, as well as *deeper **and** deeper.* Others, such as *was by was* and *if by yes*, gain their lyrical force from the strangeness of the construction (note that we can treat *if* as a noun in some constructions, such as *no ifs and buts*). The motif seems to suggest that life cycles change incrementally and cumulatively, little by little, from the past to the future, from possibility to accomplishment. Hopes and possibilities are also picked up by the monotransitive pattern outlined above, some of these patterns being less 'alien' than others. For example, *someones married their everyones* would be acceptable if nouns or definite pronouns were substituted; *she laughed **with** joy and cried **with** grief* would be standard constructions. Some involve ungrammaticality, for instance *said their nevers*, *went their came* and *they sowed their isn't*, but in others it is collocational restrictions that are subverted, as in *they laughed their cryings.* Overall, the pattern suggests homely truths about life, its hopes, responsibilities and contradictions. Paradoxically, and essentially through the mechanisms of cohesion, the poem about 'anyone' develops into a vivid impressionistic picture of Everyman's (and Everywoman's) journey through life.

Exercises

It is neither feasible nor advisable to supply full answers for the exercises set in this part of the book. Extensive guidelines and hints are provided for each question. The final answers are expected to show a great deal of variety and should be thought of as open-ended 'work in progress'.

1. Headlines may be characterised by structural irregularities such as ellipsis of the verb *be* and of closed class words such as determinatives. Alternatively, an entire headline may consist of only one clause constituent, typically a noun phrase. Collect (i) a number of headlines all taken from the same newspaper and/or (ii) a number of headlines selected from different print media (different newspapers, magazines, billboards). Analyse these examples in terms of form and function. It may be interesting to compare different sections of the same newspaper or the same topic area, such as sport, from different forms of media. Chapter 10 has a further exercise on headlines.

2. Advertisements often contain sentence fragments. Two advertisements are included (Appendices C and D). Use your local free newspaper or any other print media to collect a number of different advertisements, for example property, personal, employment, luxury goods and services, and analyse these for features of irregularity and cohesion as outlined in Chapter 9 (ellipsis, lexical repetition etc.). Again, note whether different types of advertisements show a greater preference for, or avoidance of, sentence fragments. Suggest possible reasons for this.

3. Appendix I makes effective use of minor sentences. Underline these and suggest the likely reasons for their use. (Note that there is a further exercise based on this text at the end of Chapter 11.)

4. Analyse the following items for features of cohesion, for example text orientation, pro-forms, lexical sets and poetic devices such as parallelism of sound and syntax.
    a. 'Fantastic caramel creamy rice' recipe (Appendix B). Look for ellipsis of determinatives and of object NPs. Consider also the use of lexical sets.
    b. Army recruitment advertisement (Appendix D). Text orientation, conjunctions and lexical features are important here.

c. 'Creature Features' (Appendix E). This is an excerpt, so there may not be many devices of text orientation; however lexical cohesion and pro-forms abound. (Again, there is a further exercise in Chapter 11.)

d. FourPlay interview (Appendix F). It is particularly interesting to see how cohesive devices are passed from one speaker to another. (Section 10.1.2 discusses some of the generic characteristics of spoken dialogue and interviews.)

e. 'Mysteries' (Appendix G). Note that there are three rather distinctive parts here, the first two being very short. Types of cohesive devices differ from part to part. Attempt to describe and compare cohesive devices typically used in Part A (Mapooram), Part B (the Austrian myth) and in the first paragraph of Part C. (Note: Two introductory lines of Part C, that is, the body of Koch's essay, are inserted between Parts A and B.)

5. Appendix J and Appendix K make use of a wide variety of cohesive devices. Attempt to track as many of these as you can. Do these texts use a different distribution of the various devices; mainly lexical or mainly grammatical or perhaps relying on information packaging? Look at the three texts already worked on in the body of this chapter.

This is a massive exercise for the novice practitioner, and would be suitable for a group effort. There is a discussion of Appendix K in Chapter 11, as well as an exercise based on Appendix J.

10 Text and Context

10.1   Dimensions of Register: Field, Mode and Tenor

Section 1.9.1 proposed that language variety can be considered along two main parameters, that is, dialect – variations in language that reflect the more or less permanent characteristics of the speaker/writer – and register – those aspects of our language repertoire that reflect the different, and often numerous, ways in which we occupy our lives. It is outside the scope of this book to examine dialect in any greater detail. Much academic material already covers this area. In this chapter we will look closely at the dimensions of register.

10.1.1   Field

The dimension of register that is most readily associated with occupational varieties is that of field, typically defined by the text's subject matter and closely identified with lexis. Field-specific vocabulary may be exclusive to that occupation, for example *byte*, *CD-ROM* and the acronyms *PC and USB stick* in computer technology; *dialect*, *phoneme* and *lexis* in linguistics; *purl and garter stitch* in knitting. Common core words often take on specific meanings in different registers; for example *mouse and windows* in computing; *movement* (of a sonata) in music; *cover*, *pickup* in contemporary music; *action*, *clause*, *appeal* in legal discourse. Also, compounding possibilities may be extended, as, for example, in computing terminology from *hardware* to *software* and *liveware*, and particular collocations may become associated with certain fields, as in the use of *prestige residence* in property advertising. It is typically through the recognition of a field-specific lexis that we can readily identify the topic of a text. The use of such a lexis among members of the same occupation is convenient; the jargon provides a shortcut, an economical and precise norm, and a common ground for speakers bound together by their interests or profession. It would be difficult, if not impossible, to learn to play a game of tennis without knowing the terms

deuce and *let*, or cricket without understanding what is meant by *leg before wicket* or *cover drive.*

However, the word **jargon** has become 'loaded' with strong negative connotations; it is often described pejoratively as **gobbledegook** or *doublespeak.* This is partly because jargon excludes those people who are not part of the 'in' group, and partly because of its association with such registers as advertising, 'officialese' and 'bureaucratese', and with political and economic discourse. Here, we do find language being used to mislead and obfuscate, as, for example, in the military use of *collateral damage* and *ethnic cleansing.* Consider also some of the many words to denote the discontinuation of employment, ranging from the colloquial and direct *fire* and *sack* to such obscure euphemisms as *downsizing, involuntary separation, career change opportunity, efficiency gains* and *workforce imbalance correction.* Interestingly, jargon has much in common with **slang**. Although they differ in so far as slang is used in spoken, colloquial, non-technical environments while jargon is typically found in written, formal and technical language, both are often used deliberately to include and exclude, and to either create or minimise interpersonal distance.

Lexical differences are the most obvious features of language that identify the field, but many grammatical differences are also characteristically associated with different registers. Imperative clauses are typically found in instructional registers, passive clauses in scientific texts, present tense verbs in headlines. Moreover, different fields tend to select different patterns of complementation in NPs, clause subordination as against coordination, and particular rhetorical structures; for example, the tripartite pattern as in *signed, sealed and delivered* is typical of legal discourse. Field is characterised by the habitual correlations of lexis and grammatical patterns that people who are acquainted with a particular register come to expect and associate with it.

Nor is it through the subject matter only that field is identified. The field may be only partially verbalised, used mainly to accompany some ongoing nonverbal activity, for example *I'll just toss this in and then we're off … (cooking in process), Yeah, let's take it from the top and one and two and … (conductor to the orchestra).* The entire discourse situation, that is, every aspect of the context in which a communication takes place, contributes to the final shape of the language associated with it. Whereas just the words in a recipe will readily identify the field of cooking, many of the patterns of language involved in the process of actual food preparation will differ from those of both a recipe book and a restaurant review of the same meal. (Exercise 1 below will allow you to make a detailed examination of the differences in the language of these.)

It is because our choice of language is affected not only by the subject matter, but also by what we are 'doing' through language, as well as by the purpose for which we are doing it, that the concept of field is difficult to apply to casual conversations. Conversation is characterised by rapid switching of topics covering a number of fields and by a shared context. The primary purpose of most casual conversation is 'phatic' (see Sections 9.2.1 and 10.2.1) and this function is better described by the dimensions of mode and tenor than by those of field. Note also that in an interview, although it may have the surface appearance of a conversation, the situation is different. Interviewees are 'kept on track' by the interviewer, turns are usually formally allocated and the topic restricted. In the FourPlay interview (Appendix F), apart from one brief digression dealing with the band's name, all discussion is limited to the topic of contemporary, 'popular' music-making, and there is a very high proportion of field-specific lexis and grammar consistent with this topic – *pickups*, *gig*, *moshing*, *do rock*, *played big crowds*. Significant differences in grammatical distribution can also be found; for example, imperative clauses are found only in the language of the interviewer, there are no hesitations in the speech of the announcer/interviewer but plenty in the interviewees' speech, and the use of coordination and subordination varies predictably.

10.1.2   Mode

Mode is the dimension of register that accounts for the effects on our linguistic choices of the medium in which language is transmitted and received. For most speech communities, now as ever, the primary choice has been between speech and writing. Smoke signals and drum messages have been used in a limited and secondary fashion, transmitting short, specific messages over small distances; the sign languages used by the deaf (while both a primary code and highly developed and extensively studied) are outside the scope of this book.

 Speech always precedes writing ontogenetically and phylogenetically, that is, it is primary in the development of each individual person and in the history of each language. Writing is always secondary. From stone tablets and inscriptions to its use in the contemporary electronic media, writing assumes the prior existence of speech. Although, or possibly

because, almost every human being, even the highly literate, uses speech more frequently than writing, writing has greater prestige in every community where it is practised. This is partly because writing must be specially learnt and is often not universally accessible, and partly because of its association with the standard dialect and consequently with registers highly valued by society, such as legal writing and scientific discourses, education and government. Writing is also revered because it has conquered the 'tyranny of distance', both in time and in space; because of its relative permanence, written works can still be read thousands of years after their creation. Sound transmission (by phone and radio) and sound recording are relatively recent phenomena, but their development has greatly altered our perception of what actually goes on in speech, and has led linguists at least to consider spoken and written texts in terms of function and stylistic difference rather than relative prestige.

The linguistic features that distinguish speech and writing most strongly reflect the effect of one variable, the presence or absence of the addressee. Typically, speech is associated with the presence of an addressee, writing with the absence of an addressee. This factor has a number of important corollaries:

- *Immediate feedback:* If the addressee is present, the speaker need not be as explicit and careful with lexis or grammar, as the addressee can prevent misunderstanding by providing immediate feedback, such as a raised eyebrow or other body language; **back-channelling** in the form of *oh yeah*, *uh-huh*, *um*, or explicit questions. Vague words like *thing* and *thingamajig* are used, as the speaker does not need to be pedantically precise. The addressee is, in turn, helped by the presence of the speaker's intonation and body language. The absence of these in writing is poorly compensated for by punctuation, the most notable of these being the three dots we use when unable or unwilling to complete what we have begun. In very informal writing, dashes, question marks, exclamation marks, often multiple (!!!), and the newly popular interrobang try to bring our addressee more into the picture. (The interrobang, in use since the end of the 1990s, is an informal combination of question and exclamation marks, usually rendered as ?! or !?) Also, the immediate environment shared by speaker and addressee encourages the use of deixis: the speaker can physically point to something in the room, and words like *today* and *here* will be interpreted in the appropriate context.
- *Lack of preparation time:* In face-to-face speech situations, speakers generally do not have time to prepare their contributions

carefully, and must think 'on their feet'. Not surprisingly, pauses, hesitations and **fillers**, such as *er*, *um*, *you know*, *I mean*, *sort of*, *like*, are common. The lack of time available for planning and reviewing also leads to false starts, where the speaker loses track of the original construction or changes direction in mid-sentence.

- *Strategies of speaker/addressee interaction:* Conversation, which is not the only but certainly the main use of speech, is, by definition, dialogic. The speaker and addressee alternate roles, taking turns to speak, both initiating turns and responding to them, and 'yielding the floor' to one another. Turn-taking procedures are observed, with turns often allocated by name or implied by eye contact or postural changes, although overlaps do happen. Speakers also orient to prosodic and grammatical cues in observing turn-taking. 'Unfilled' pauses may be misconstrued as yielding the floor and the speaker may be interrupted (another reason for the use of 'fillers' like *er* and *um* is to 'hold the floor'). Adjacency pairs are followed through – a question demands an answer, an offer expects acceptance or rejection – and the presence of the addressee is additionally acknowledged in other ways, with *you know*, *eh*, tag questions and so on. Consequently, the spoken mode, at least in casual conversation, tends to create dynamic, open-ended texts, contrasting with the static, closed, monologic character of most written texts.

- *Informality:* Speech in the immediate presence of one or a few addressees tends to produce informality, although an increase in the size of the audience reverses this tendency. Some linguistic signs of informality in speech are contractions such as *you'd*, omission of the subordinator *that* (e.g. *I know you'll like this*), and the use of phrasal verbs and sentence-final prepositions. Compare, for example, expressions such as 'I will not tolerate such behaviour' with 'I won't put up with such behaviour'. Note as well the contracted version of the verb that is likely to go with the phrasal version. More informal and attitudinal lexis is typically used in speech than in writing, for example degree adverbs such as *really* and *absolutely*, and **hedges** such as *kind of*, *sort of* and *more or less*. It is interesting to observe how the unexpected absence of the addressee may affect our language, as when we are required to leave a message on the phone. Many speakers are thrown into a mild panic, which results in the increased formality of that message; for example, we may choose to say *purchase* rather than *buy* or *get*. This effect is similar to the increased formality found in most writing, where, except in very personal instances such as

notes and letters, the audience is undifferentiated or unknown and the writer must predict the needs of their addressees by being more explicit and precise, and consequently more formal. Furthermore, writing tends to be more impersonal than speech – especially official writing.

> It is only in writing that one has the option of completely obscuring one's own person: an author of a novel or a participant in internet chat rooms can pretend to be a different age, ethnicity and even gender.

- *Rhetorical structure:* Because typical speech is dialogic and spontaneous, we tend to organise it chronologically – *and then I said, and then she said and … .* Clauses are strung together using simple coordinators *and* and *but,* and the sentence boundaries are less clear. Written language, by contrast, tends to be organised not chronologically but logically, consequently using a different rhetorical structure. Very complex noun phrases are more common in writing (see the discussion of nominalisation and lexical density later in this section). In the absence of intonational means for indicating information focus (see Section 8.1), writers may have to make use of constructions such as the cleft sentence or existential sentence. Speech processing factors may also have an influence: extraposition is common in speech because speech processing favours right-branching constructions, that is, those that place long, content-heavy items of complex information at the end of the utterance, thus reducing the burden on our attention and memory. Written language, since it can be reviewed any number of times, is not as constrained by this.
- *Functions of speech vs. writing:* The ease and rapidity of speech transmission make it particularly suitable for several functions, which we shall discuss in more detail in Section 10.2.1. Most important of these is the phatic function, which is oriented to the establishment and maintenance of interpersonal contact. The use of interjections (*ouch*, *oh*, etc.) is quintessentially expressive; many are difficult to render in writing (e.g. *hmm?, psst!*). Speech also has greater affinity with the poetic resources dependent on sound, such as alliteration – many advertisements and political discourse exploit this, as do we all when in

the grip of spontaneously expressed overwhelming feeling. *He is such a pompous, pretentious, pontificating, pedantic prig* was once produced by one of the present writers. Writing, on the other hand, is best suited to the communication of complex, detailed material, which may demand considerable planning and restructuring, and may include material not capable of being transmitted orally at all, such as maps, tables, graphs, lists of figures or scientific formulae. It is well suited also to transmission of anything that must be remembered and recorded with utmost precision. Written material can even circumvent the constraints of linearity – dictionaries, glossaries and such, as well as computer hypertext documents, while written in a certain order, may be dipped into at will as the need arises.

Some material is composed exclusively in and for either the spoken or the written medium: that is, either spontaneously spoken to be heard face to face and immediately, as in casual conversation, or written to be seen only, such as telephone directories, dictionaries and medical prescriptions. However, 'mixed modes' have existed for as long as writing has been more or less freely available. TV news and interview introductions are pre-written to be read aloud, while the dialogue in plays and novels, and much poetry, is written to be read 'as if heard spoken'. Lectures are a good example of a mixed mode; they must provide precise information, but will not do so effectively without a degree of interpersonal contact: eye contact, spontaneous comment from the lecturer, responses to questions from the students. The grammar of lectures will often reflect features of more informal tenor and of spoken mode, as, for instance, in its selection of coordination over subordination and of deixis, as in *Today, we shall begin.* Also, lectures usually make use of both pre-prepared visual materials, such as maps and overheads, and spontaneous note-writing.

The traditional division of the means of language transmission into spoken and written, aural and visual, is often subverted by the modern media. Phone conversations use an aural medium, with the addressee present but not face to face. Most people become familiar with the problems this combination presents when having a phone conversation with young children. Even adults have to be

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conscious of the need for constant back-channelling (*um*, *indeed*, *quite*, *uh-huh*) to ensure that the speaker does not think that the addressee has gone away or fallen asleep. On the other hand, 'conversations' on the internet, while written, take on many characteristics of the spoken mode, developing compensatory devices for the absence of the voice and intonation, such as spontaneously appearing emoticons.

Text-messaging also makes new demands on us; as with headlines, new techniques have developed to compensate for the lack of space that phone screens allow. Often making use of well-known wordplay devices, such as the rebus (for example, the use of numerals to stand for words that are homonymic with them – 4 for 'for', 2 for 'to' and 'too'), the language of text-messaging has begun to affect traditional ways of writing, at least for some younger English speakers. However, newer mobile phones tend to use predictive text and are not as limited in space, so that the innovations described above, as well as the possible repercussions suggested by the pessimists in the teaching professions, have not come to pass.

We conclude our discussion of mode by noting an important feature characterising the written mode, its use of **nominalisation** (introduced in Section 3.7). In spoken language, it is usual for actions to be expressed by verbs, actors by pronouns or common nouns, and clauses loosely connected by simple coordinators and subordinators, such as *and*, *but* and *because.* In written language, by contrast, verbs, adjectives, coordinators and subordinators can be converted into derivationally related nouns or nouns with associated meanings. For example, the coordinator *but* may be turned into the noun *exception* and the subordinator *because* into the nouns *cause* or *reason.* The motivation for this seems to be that the resultant nouns can then be extensively pre- and postmodified, forming often complex noun phrases, which are connected by the verb *be* or other semantically empty verbs into copulative structures. The process is useful for a number of formal written registers as it allows for the neat and precise 'packaging' of a great deal of detail. However, heavily nominalised sentences are often much harder to process and may require a number of readings. Additionally, and importantly, nominalisation helps to create a text that does not have to specify personal responsibility; that is, noun phrases in the subject

position may stand for abstract ideas or complete events rather than for people acting in the real world. Noun phrases in the object position representing the people affected by the actions of others tend to disappear altogether. Thus, nominalisation may become a powerful tool for obfuscation of certain 'facts' and for promotion of particular ideological perspectives. Consider the choice of *The recent restructuring within the company is motivated by the need to pursue the efficiency gains projected …* instead of *We had to sack some of the staff in order to make higher profits expected.*

Texts with extensive nominalisation exhibit higher **lexical density**, that is, they have a higher proportion of open class words: nouns, verbs, adjectives and adverbs. A number of tests, such as the **Fog Index** and the **Flesch Reading Ease Score**, use the notion of lexical density to judge the comprehension difficulty of different texts. Some computer programs include grammar checks incorporating lexical density scores. Their usefulness is dubious, however, as they are able to determine neither the actual effect of the high lexical density in any one particular text, nor whether this is at a level appropriate to the register of the text concerned. What is acceptable and appropriate in a science report or a philosophical treatise will not be appropriate or effective in a children's textbook.

The following example of a highly nominalised text comes from the *International Journal of Ophthalmology*, January 2016:

> *Diabetic retinopathy is a growing health concern, particularly in the developing countries where obesity keeps lowering the disease onset for type 2 diabetes.*

Note the number of abstract nouns, *retinopathy, health, concern, obesity, disease* and *onset*. There are only two finite verbs in the passage: *is* and *keeps*. Acting as subjects to these verbs are the abstract nouns *retinopathy* and *obesity* – there is not a human in sight. Even the modifiers in two of the five NPs are abstract nouns – *health* and *disease*. The result is a great deal of compactness, a sentence of 23 words, 16 of them open class.

Let us try to render this sentence intelligible to the layman.

> *Doctors, particularly in the developing countries, are becoming increasingly concerned about serious eye problems in people suffering from type 2 diabetes. Such problems are occurring earlier and earlier in these countries because these people are also suffering from increasing weight problems.*

This is not, of course, a close translation. However, notice the increased number of verbs, and the greatly decreased number of abstract nouns. We now have 41 words, split over two sentences, and two human actors – *doctors* and *people.* Medical jargon has been kept to a minimum, even *obesity*, a rather popular word at the moment, has been 'unpacked'.

Because nominalisation enables us to produce an impersonal tone, and the number of abstract nouns makes the text appear more impressive and enables a lot of information to be packed into relatively short NPs, such texts have become the norm in much bureaucratic and official writing, exposing these to criticism as gobbledegook and to much humorous parody. We shall end this section on a lighter note. Consider the following sentiment from a *University Challenge* programme screened on ABC-TV in 1989 in Australia.

> *It is our collective intent to communicate to others our desire that they should experience considerable elevation of mood on the occasion of the recommencement of a relatively arbitrary cycle of time measurement and a continuation thereof for its duration.*

What this means, in short, is '*We wish you a Happy New Year'.*

The main differences between the spoken and written modes discussed in this section are summarised in the table below.

Mode	
Spoken	**Written**
Context and background factors	
Primary; individuals and languages develop speech before writing	Secondary; spoken language must pre-exist
'Natural'	Learnt
No equipment required	Specific equipment necessary

Aural	Visual
Organised in time	Organised in space
Transmitted over small spaces only	Transmitted over considerable space and time
Transient	Permanent
Spontaneous	Prepared
Addressee typically present	Addressee typically absent
Dialogic	Monologic
Dynamic, interactive, open-ended	Static, closed
Immediate feedback	Delayed feedback, if any
Context-bound	Context-free
Presence of intonation and body language	Presence of punctuation and layout
Best suited for phatic exchanges and spontaneous, cooperative, immediate development of ideas	Best suited for development of complex ideas, allows planning, revision, inclusion of maps, graphs, diagrams, figures and formulae
Taken for granted, 'devalued'	Prestigious, highly valued

Spoken	Written
Language characterised by	
Problems due to pressure on the speaker; pauses, fillers, hesitations, breakdown in sentence organisation, repetitions, interjections and **discourse markers**	Text can be revised
Strategies of addressee involvement Audience involvement, 1st and 2nd person pronouns, interrogative tags, imperatives, interrogatives, 'markers of sympathetic circularity'	Less audience involving, 3rd person pronouns, declaratives

Spoken	Written
Language characterised by	
Syntactic features	
Lack of clear sentence boundaries	Clear sentence boundaries
'Minor' sentences	Complete sentences
Clause complexity	Phrase complexity
Coordination	Subordination
Lexical features	
Deictic reference	Precise reference
Predominance of closed class words	Open class words
Informal, vague lexis	Lexically dense
Slang, clichés, idiomatic expressions	More formal, precise lexis
Hedges and emphatics	Nominalisation

10.1.3 Tenor

In Section 10.1.2 we identified the mode dimension of register in terms of the relationship between the participants in a given situation. Although there is considerable intuitive awareness about modifying our 'tone of voice' according to the situation, the meaning of an utterance is commonly thought to be determined mainly by the characteristics of the field. Yet, no meaning is complete, perhaps even possible, without our knowledge of the paralinguistic features accompanying its presentation: the pitch, volume and tempo of the delivery will allow us to 'read between the lines', sensing the writer's anger, delight, excitement, or intended irony. In fictional writing these are often expressed explicitly, as in *she snarled/snapped/said warmly*; *her voice rose/trembled*. The physical stance of both the speaker and the addressee, as well as the degree of physical contact between them (including eye contact), will also contribute to the overall 'meaning' of the communication. Most societies have clear expectations about the amount of personal space appropriate in different social situations and recognise that invasion of this with personal stance, gesture or volume of voice is an indication of the differing power relationships between the participants. Complete neutrality of tone is impossible: the closest thing to it would be a written text in which impersonal constructions and non-emotive vocabulary are used deliberately to give the impression of professional behaviour, objective rendering of facts or

emotional distance. The verbal and nonverbal behaviour of participants is influenced by their identity, both personal and as determined by their social and professional status (called 'functional tenor' by some linguists), by what they hope to achieve through the communication and by various other features of the setting. This dimension of register needs to be learnt, initially during our early years of socialisation, and throughout life as we take on additional 'roles'. Children are encouraged to extend their 'tenor' repertoire with directives such as *Say thank you*; *Wait your turn to speak*; *Do not speak to your mother like that*; *Take that cheeky expression off your face.* Many professionals have an explicit code of ethics: doctors, lawyers and teachers learn to behave appropriately as part of the tools of their trade, to establish and maintain professional 'distance' both physically and verbally. See also below, how tenor differences can be negotiated by the different use of pronouns and terms of address, especially compared to the grammars of languages other than English.

The crucial motivating factor in the dimension of tenor, as it is to a large extent also in the dimensions of mode and field, is distance. Distance in tenor is created by unequal, non-reciprocal power relationships (socioeconomic, class, professional), by differences in age and gender, by the frequency of contact and by the degree of emotional involvement. Physical distance affects relationships as well, accounting in part at least for the increased formality of the written mode and phone messages. Many people confess to writing down their phone messages before making the call, to avoid embarrassed and disorganised stumbling when faced with having to leave a message. A larger audience likewise increases the distance between the speaker and those addressed. (For the latter, compare a lecture and a tutorial in the same subject, and preferably presented by the same person.)

The linguistic features of tenor are characterised by greater or lesser formality, which itself can be achieved primarily by differences in explicitness, in directness, and in the most overt manifestations of personal involvement, that is, the terms of address. Let us consider each of these in turn:

- *Linguistic markers of explicitness:* There is a strong relationship between formality and explicitness. At the most formal end of the formality continuum, we often have large groups of people who are not necessarily well known to each other and do not have a shared background and a shared value system. In fact, everyone may not even be present face to face in the event (as in, say, a

televised lecture), and most importantly, there may be a considerable difference in power relationships between the speaker and the addressee/s. In such situations, it is advisable to present one's arguments as clearly and explicitly as possible as no shared knowledge can be presumed. Moreover, speakers often wish to present themselves in as good a light as possible. As a result, phrase and sentence construction tends to be complex and intricate, enunciation and handwriting (or typed presentation) careful and precise, and word selection precise and emotionally neutral.

At the most informal end of the formality continuum, the opposite prevails. Reduction rules in every way, in the casual quickly scribbled note, in less clear enunciation (*yeah*, *yep*, *gotta*), and in the prevalence of contracted forms. Less care is taken in the selection of grammatical constructions, with incomplete sentences very common. Informal lexical items, such as slang, swear words and emphatics (*really*, *great*, *cool*) are used to add colour.

- *Linguistic markers of directness:* Distant formal relations call for a higher degree of both positive and negative politeness, with positive politeness being defined as explicit use of politeness markers such as *please* and *thank you* and negative politeness as involving strategies designed to 'save face'. Social distance will generally occasion the use of less direct grammatical constructions and the avoidance of exclusionary, possibly offensive lexis like slang, especially in those situations which have inherent in them a degree of possible confrontation. An opportunity to escape politely from an undesirable situation can also be offered by the use of pre-structures, such as *Are you doing anything tonight?* or *Will you have some spare time this afternoon?*. It is usually understood that such 'pre-structure' questions are likely to be followed by an invitation or a request. Thus, the addressee can be prepared for the situation and has a chance to respond politely, without either party 'losing face'. Requests and orders may also be less aggressively expressed by avoiding the imperative mood in favour of the declarative or interrogative. For example, a request to shut a door can be expressed as *Could you shut the door if you don't mind?* or *I think we should shut the door – there's a lot of noise outside.* In fact, we are so attuned to having to make politeness inferences that even a simple statement such as *Gosh, it's really noisy here* will normally produce the desired result. Potentially confronting situations can

be further toned down by using the past tense, negative polarity and tags as in, for example:

I was wondering whether you'd mind giving me an hour of your time this afternoon?

You couldn't lend me ten quid till Monday, could you?

In addition, hedges such as *perhaps*, in the following example, may be used to mitigate the potential brusqueness of an utterance by creating an impression of lesser certainty:

Perhaps we could get together tomorrow at 10 and discuss this matter further.

• *Pronouns and terms of address:* The most obvious linguistic feature of tenor difference is created by the differential use languages make of pronouns and terms of address. Many languages express respectful, intimate or dominant relationships through their pronoun systems: singular second person is used to address children, intimates and social inferiors, second person plural in other cases. (Similar modulations are still detectable in Shakespearean or Early Modern English – note the use of *thou* in the early seventeenth century, as in Appendix H – but are no longer possible in most English dialects, the Quaker use of *thou* being an exception.) In communities where such pronominal differences exist, it is possible to gauge the progress of one's relationship quite explicitly because one cannot begin using the singular form until invited to do so. For instance, French has a special verb *tutoyer* to refer to the practice of using the singular pronoun. Many languages use patronymics (e.g. Russian) and other special honorific markers (e.g. Japanese) to signal tenor relationships. In all languages it seems to be important to avoid the direct use of the second person pronoun in more formal, less reciprocal relationships; for example, in nineteenth-century Russia the term for *they* instead of *you* was used by the serfs in face-to-face encounters with their social superiors. In English, it would be considered extremely rude to use the vocative *you* in conjunction with the imperative, for example *You, pick this up.* The vocative, where the use of the pause/comma appears to specifically point a finger at the person

addressed, is even ruder than the same sentence with the pronoun *you* used as the subject of the sentence. One of the reasons for the use of inclusive *we*, especially among nurses and primary schoolteachers, (e.g. *And how are we feeling this morning? We are skittish today, aren't we?*) is the polite avoidance of the second person pronoun.

Universally, address terms are used to make clear the addressee's professional and social status, their gender and their kinship relationship with the speaker. The more formal and distant the relationship, the more specific the terms, for example *Your Honour*, *Your Grace*, *Your Royal Highness*, *Mr/Mrs/Miss/Ms*, *Dr Smith*, *Sister Mary*, *Professor Smith.* Until recently, even in English, one could not begin using first-name terms until invited, perhaps with a casual remark such as *Do call me Jane, none of this Dr business.*

Most names can also be systematically altered to indicate a loving intimacy and playfulness, or a brusque dismissiveness. Consider such variants as *Peter*, *Petey*, *Peterkins*, *Ped/Pedro*, *Pete and Jane*, *Janey*, *EJ*, *Elizabeth Jane Smith*! Importantly, the inappropriate use of first names can be an effective strategy for disempowerment, as in the case of a male boss addressing a recently employed female as *Jane*, while being addressed by her non-reciprocally as *Mr/Dr X.* Other notable disempowering strategies can reduce adults to the status of children, as in the well-documented use of *boy* in American English when addressing an adult male African American, or the use of *girl* by a male office manager to a female and possibly older staff member (e.g. *Would one of you girls type this up for me?*).

We conclude this section by observing a process that has been occurring in late twentieth-century English that some have called 'informalisation'. Many of the markers of private, personal and informal discourse are spreading into more public spheres, where strangers are being addressed by first name by receptionists and sales personnel, official correspondence is written 'as if spoken', a criminal lawyer interviewed on the radio says *Yep* and *You gotta see it this way.* This development has both advantages and disadvantages. Informal language appears to reduce distance and make participants interact on more equal terms. However, the sense of intimacy that is thereby created may produce a false sense of security and solidarity, making it harder for us to prosecute our case aggressively if necessary. The differences between formal and informal modes discussed in this section are summarised in the table below.

Tenor	
Most formal	**Most informal**
Context and background factors	
Public discourse	Private discourse
Written mode: monologic, large audiences, 'public' setting	*Spoken mode:* dialogic, small audiences, intimate setting
Field: professional, official	*Field:* everyday, conversation
Language constitutes the whole communication	Language accompanies other activity
Relationship between participants based on power: non-reciprocal, distant, difference in professional role, age, gender and social standing	*Relationship between participants based on solidarity:* reciprocal, close relationships, similarity of social class, age, gender
Low frequency of contact and emotional involvement	High frequency of contact and emotional involvement
Taught by explicit instruction/ professional induction in later life	'Natural' behaviour
Language characterised by	
Explicitness	Reduction
Lexis: classical, abstract, polysyllabic	*Lexis:* colloquial, concrete, monosyllabic and phrasal verbs, vague words
Precise reference	Reference by deictics
Professional jargon	Slang, clichés
Denotative, neutral	Connotative, emotive, with swearing, and 'attitude' words, such as hedges and emphatics
Full forms of 'phatic' expression and discourse markers	Reduced 'phatic' expressions and casual discourse markers
Syntax consistent with written mode: Complex phrases; intricate, carefully planned complete sentences	*Syntax consistent with spoken mode:* Shorter phrases; clause connection by coordination; ellipsis
Phonological precision	Phonological reduction and abbreviation
Careful layout and handwriting	Informal punctuation
Dialogue: formal, explicit allocation of turns and floor holding/yielding strategies	*Dialogue:* less careful, interruptions and overlaps

Continued

Language characterised by	
Indirectness/politeness	Direct expression
Incongruent mood choices, interrogative tags, requests/orders, suggestions, declarative past tense, negative polarity,	Imperative and interrogative mood common
pronouns: inclusive *we*, impersonal (e.g. *Would madam like to, Guests are requested*)	You More personal expression of opinion, stronger expression of obligation (e.g. *you must, want you to*)
Terms of address Title + surname; titles – professional, kinship, gender	First name only, often reduced nicknames, diminutives, etc.

10.2   Further Dimensions: Functions and Genre

10.2.1   Functions of language

In addition to the three dimensions of register (field, tenor and mode), the overall purpose for which the text is intended plays an important role in what aspects of language are selected and emphasised. In 1960, in his Closing Statement to a Linguistics and Poetics symposium, American linguist Roman Jakobson asserted that all verbal behaviour is goal-oriented and proposed six different **functions of language**. Three of these are the primary orientations towards the 'I', the 'you' and the 'it' (they had been previously proposed by the psychologist Karl Bühler). Jakobson called these respectively:

- the *expressive/emotive* function – where language is primarily used to express the speaker's feelings
- the *conative* function – where language is used to manipulate the addressee to do what the speaker wants
- the *referential* function – where language is used to convey information about the world.

Jakobson added another three functions:

- the *poetic* function – where the primary orientation is towards the form of the message. This function is most evident in poetry

but also in advertising jingles, various promotional material and propaganda
- the *metalingual* function – when language is used to refer to itself, to elucidate the message, as in much of the present book
- the *phatic* function – its primary aim is the establishment and maintenance of personal relationships; that is, it is largely concerned with social contact, as in small talk, exchanges about the weather and ritual expressions like *How's things?*

Jakobson's six functions of language provide a useful adjunct to the three dimensions of register, and apply across the whole spectrum of verbal communication. For example, the expressive/emotive function is dominant in lyric poetry, but also in the more mundane expressions of the speaker's feelings, such as interjections and swearing. The conative function is predominant in serious scholarly arguments as well as in propaganda and advertising. In our daily language interactions with young children, we use the referential function, for example *These puppies won't grow very big*; *dachshunds are really quite small dogs*, and the poetic function – not only in the form of poems and nursery rhymes, but also in alliteration and rhyme, and rhythmic and figurative language, which are all used in many early childhood 'learning experiences' and games. Consider, for example, the alphabet song and the character Count, in the children's programme *Sesame Street*. We resort to the metalingual function, not only in the disciplines where we need to explain language with language, for example linguistics and philosophy, but also in our answers to children's questions: *What's that? It's a dog; It's a dachshund; What's a dachshund?* and so on. And we train quite young children in the use of the phatic function when we teach them to say 'Hello' and to wave 'Tata'.

While most speech events have one dominant orientation, there may be a number of secondary, less central aims as well. For example, while the primarily persuasive aim of advertising is reflected in the conative function, the need to provide at least some information may be served by the referential function, and the need to attract attention and shape the message so that it is easy to remember is served by the poetic function.

10.2.2   Genre

Before concluding this chapter and proceeding to text analysis proper in Chapter 11, we would like to briefly introduce another term. One area where the functional approach has become particularly prominent

has been in the context of genre theory. **Genre** is an ancient term, referring in classical Greece to the division of literary works into the three categories of poetry, drama and epic. These divisions were regarded as fixed and 'natural', and correspond, to a large degree, to the three 'basic' functions of language, that is, expressive/emotive, conative and referential respectively. During the twentieth century, the concept of genre gradually migrated from the field of literature and stylistics to the area of register analysis and sociolinguistics, and, in particular, to its potential applications in all areas of education. Genres are now defined to be culturally based forms, evolving and adapting to the different, changing needs of the society in which they are institutionalised, and the term applies to various communicative events from all walks of life, no longer only to such literary forms as the novel, the ode or the tragedy, but also to non-literary forms such as recipes, reports and lectures.

A genre is a publicly recognised communicative event, and each society gives specific names to the genres and subgenres that it uses regularly. Although the actual features of each genre vary to some extent and may change over a period of time, the users of a particular genre have certain expectations with regard to the structure ('staging') and the linguistic features that are likely to be prominent in it.

Consider, for example, the 'recipe' genre. We all recognise that recipes must contain at least two important sections – a list of ingredients and the method or procedure. Also, it is usual for us to expect a recipe to have a (probably deliberately enticing) title and to provide such additional details as the intended number of servings and the appropriate accompaniments. It is typical for the title, appropriately, to be placed first, followed by the list of ingredients, the method and the other details in that order, often referred to as 'staging'. It is usual for us to expect that recipes, whose primary function – like that of all instructional genres – is conative, will make extensive use of sentences in the imperative mood and of elliptical constructions and other abbreviations (see Chapter 9).

While each society may, as part of its communicative activities, make use of a large variety of registers, varying as they do along the continua of mode and tenor, and the virtually limitless number of potential field differences, it seems likely that there are institutionalised in any community a much smaller number of generic possibilities. On a macro scale we can describe, for example, the genre of the report. A report can be constructed in many of the possibilities offered by the three register dimensions; we have school reports, business reports, reports on various aspects of science, and most of these can be spoken or written, extremely

formal or reasonably informal. Our socialisation into adulthood rests largely on our ability to know how 'things are done' in our society, and one important aspect of this is our ability to recognise and operate a range of genres.

Exercises

The following exercises may be undertaken over a period of time, and/ or in a group situation. They are designed to make you think about the issues involved and to develop a keener awareness of how language use varies. Treat them as a work in progress, as extensive and as comprehensive as time and your present expertise allow. They may be returned to at some later stage.

1. a. With special attention to recipes in Appendix B and part of Appendix C, and any other written recipes you may be able to collect, and using some of the staging and structural details discussed in Section 10.2.2, make a detailed description of the recipe genre. Notice that the example in Appendix C is hardly typical.
    b. Vary the tenor and the mode; for instance, get a friend or an elderly relative to tell you a recipe, or transcribe a short episode from radio/TV cooking programmes. (Such programmes often provide free written recipes. Compare these to your transcripts if possible.)
    c. Vary the genres within the general field of food writing; for example, analyse a newspaper restaurant review or someone telling you about a meal they enjoyed (or hated). Compare the staging, the layout, lexical and grammatical choices.
    d. If you have access to someone who speaks another language, you could look at the ways all the features discussed above differ or not from the ways they are used in that other language – for example, do you use the imperative and delete direct objects in Chinese or French recipes? What were your expectations and are they borne out? Why?

2. Still staying within the general area of instruction as in Question 1, take as your field a particular hobby, game or sport. As in Question 1, try to find printed instructions or guidelines, Speak to someone else about the task at hand, record anything available in the spoken media. Compare sports commentary on the radio with

the television commentary describing the same event. Compare the vocabulary used, grammar patterns prevalent, and any other generic features.

3. There are two advertisements included in this book (Appendix C and Appendix D). Collect a number of other advertisements as well as some different promotional items. Political campaign items and municipal notices often display the same mixture of 'conative' and 'poetic' functions. What are some of the features of persuasive material in general? Think of language differences across all the three parameters – field, tenor and mode. The repetition of key words ('selling points'/topics), 'poetic' devices, features of involvement (e.g. *you* vs. *we*, imperative, interrogative), exaggeration, generalisation and features of spoken mode are some aspects of language to examine as a start.

4. a. Analyse the transcript of the FourPlay interview (Appendix F) for features of mode and tenor discussed above.
   b. Tape and transcribe a short passage from the radio of an interview or a panel discussion. Compare to a passage on the same topic but in the written mode from a newspaper or a journal.
   c. 'Chat' to a friend, an elderly relative and a distant acquaintance and then write a 'pretend' letter to each person on the same topic. Compare the adjustments in tenor that you make for the different people (that's why the relative should be elderly) and the differences of mode in spoken/written interchanges.
   d. Examine a page or so of stage dialogue. (Harold Pinter and Tom Stoppard are noted for their 'naturalistic' dialogue. Try any reasonably contemporary playwright.) What features of 'real' dialogue are missing? Why? (Try to imagine the situation in real life, or get a friend to improvise it with you.) Note that theatres employ professional dramaturges to update and make relevant the plays from other languages, cultures and periods. What features of the language are they likely to need to adjust? Mode, tenor, field?

5. Compare a number of different university lectures. Many lectures are recorded and could be used for transcription. How do different fields affect the general features of the genre? Discuss also mode-mixing, tenor differences and the resultant implications on one's attention span, on immediate understanding, on note-taking

and on memorability. (Note that it is advisable to ask permission from the lecturers concerned if intending to conduct such detailed analysis of their work.)

6. Using the headlines collected for Chapter 9 and any others, analyse these for the generic features outlined in Section 11.1. Compare different papers (tabloid and broadsheet), or different sections of the same paper. Remember that usually a special subeditor is responsible for all the headlines in a newspaper or a particular section of it – they are not written by the author of the article concerned. Do all the headlines in a particular paper or journal demonstrate the same 'grammar', lexical choices or poetic predilections? Do these vary in different sections of the same paper or journal, that is, according to field differences? Do the more highbrow publications demonstrate different linguistic preferences?

7. Analyse Appendix I for features of field, tenor and mode. Compare the features of Arnie-speak with Wajnryb's own language. (Beware, there is a great deal of intriguing variety in the latter!) Is there consistent variation between the two, and, if so, what is the effect of this variation? You will need to examine lexical choices as well as grammatical and rhetorical structures. Keep this work for a major exercise in Chapter 11.

11 Text Analysis: Putting It All Together

In the many different areas where text analysis is now practised, such as pragmatics, sociolinguistics, stylistics and literary studies, two main directions are taken, usually concurrently. These can be described as the 'top-down' approach and the 'bottom-up' approach. The top-down approach focuses on larger considerations, beginning with a broad category such as a particular communicative genre or function (e.g. an advertisement, or 'persuasive' texts in general), or an aspect of social context, such as whether women use language differently from men, or how age affects certain aspects of language use. Other possibilities include examining a broad 'field', for example religious language or the language of biology, or even a general consideration, such as the ways we 'write' history.

The bottom-up approach begins with linguistic features themselves, such as the discourse particles *well*, *you know* or the use of the simple present tense. The use of these features in different social contexts is then described. For example, we would begin with observations that *well* and *you know* are typically used in informal, spoken situations, while the simple present tense is often used to make generalisations, as in the report genre.

11.1 'Top-down' Approach

As an example of a 'top-down' analysis let us consider the genre of headlines. How do we expect headlines to be constructed? What contextual dimensions of headlines can we describe and can we predict how these will affect the selection of specific linguistic features found in headlines? That is, given a 'bundle' of situational factors, and our acquaintance with headlines as a prominent genre in our society, can we describe the linguistic features that are typically associated with it?

The mode of headlines is always written; however, the tenor and field depend on the particular instance. The overall effect of a headline depends

on many things, in particular the poetic features that help it to attract and retain our attention, 'to entice the reader into the story without giving the whole game away', according to one Sydney editor. Also, many non-linguistic features need to be considered, including print size, colour, font and general layout. The constraints of limited space have led to the development of a range of linguistic features favoured: various types of ellipsis and abbreviation, special punctuation conventions and the use of short words whenever possible. In the area of grammar, headlines tend to consist of reduced sentences; often, in fact, NPs only are used. Ellipsis of closed class words (e.g. determinatives and prepositions) and of the verb *be* is also favoured, and ambiguity may arise as a result. Consider, for instance, *Eye drops off shelves*, and the old Second World War gaffe *French push bottles up German rear*, where the identity between the plural noun suffix *-s* and the verbal singular suffix *-s* in each case produces an unfortunate and unintended additional interpretation. In punctuation and lexical choice, the twin aims are again to reduce space and to increase impact. Commas are used to suggest a variety of grammatical relationships: asyndetic coordination (e.g. *Study finds sex, pregnancy link*), apposition (e.g. *Driver, 85, guilty*) and direct speech (e.g. *Crime increase, polls show*). An exclamation mark is a visual shout, as in 'Gotcha!', the UK tabloid newspaper *The Sun*'s response to the sinking of a gunboat during the Falklands War. Question marks and inverted commas (when not used for marking direct speech) can imply speculation or doubt and serve to distance the publication from the views expressed within the inverted commas.

Turning to lexis, we find that short, punchy, vernacular and colloquial words are preferred and there seems to be a penchant for metaphor, especially for metaphors of battle (*clash*, *feud*, *blitz*, *war*) and religion (*mercy*, *vigil*, *crusade*), as well as for other somewhat sensationalist words. For example, prices *plunge* and *soar*, *shock* and occasionally are *slashed*. Politicians *quit*, *quiz* and *slam* each other and *scrap* their appointments or policies. Every fire is a *blaze* or an *inferno*, every investigation becomes a *probe* and every disagreement a *row*. Somewhat archaic words are also often used, for example *vow*, *pledge*, *shun*, *helm* (as in 'At the helm of Qantas') and *unveil* (as in a tax plan). Problems may result for many younger readers today faced with 'Noy urges public: shun firecrackers in welcoming 2015' (*The Philippine Star*).

These words are short, vernacular and hyperbolic; and their strong emotive effect is often reinforced by aural overtones (alliteration, for example) and by 'poetic' playfulness. Various rhetorical devices – synecdoche, metaphor and allusion (see Section 9.3.5 and the Glossary) – often make headlines obscure and difficult to understand (as well as

delightful and intriguing), and consequently they are an especially difficult genre for foreign learners of English. Consider 'Whacko, Flacco – he's the pick of the packers' (*Sydney Morning Herald*, 26 February 2009). Flacco is the alter ego of an Australian comedian, Paul James Livingston. The Archibald portrait competition at the Art Gallery of NSW has a Packing Room Prize, which is awarded by the gallery employees whose job it is to unpack and hang the portraits submitted. And 'whacko'? It's a slang word – always a notorious problem for second language learners – meaning *crazy, mad, odd*. (Note also the rhyme and the alliteration, a perfect headline.)

Thus, a full understanding and enjoyment of these headlines is extremely context- and culture-dependent.

Headlines are not written by the journalist responsible for the article, but by a special headlines subeditor, and consequently may reflect not only our cultural expectations of the genre, that is, the most effective way of packaging a lot of information into a small space, and the editorial policy of the paper or journal in which they appear, but a great deal of individual creativity as well.

11.2   'Bottom-up' Approach

For the 'bottom-up' approach we would like to offer the following checklist of lexical, grammatical and other features that should be taken into consideration when describing any text. An examination of such features, at least those which seem to be relevant for the text concerned, is an important first step in any text analysis. While this approach often brings accusations of mere 'train spotting' or 'butterfly collecting', one is often repaid with interesting and unexpected insights. It is also an easier approach for students often totally untutored in any detailed and objective language analysis, who are otherwise likely to make unwarranted and subjective assumptions about the text before them. All the items mentioned below (with the exception of commonly known terms, such as 'innuendo') have been discussed in the relevant chapters throughout the book. The grammatical tests suggested in Section 1.5, such as substitution and movement, are also still useful at this point of text analysis. For example, consider the potential effect of moving a particular word elsewhere in the sentence, or of substituting a verb for

a heavily nominalised construction, or of substituting a less emotive word for an emotionally charged one in a highly persuasive text. Such strategies will underline the effect of the original item, and will consequently allow us to make a better informed choice.

11.2.1   Checklist

The following list does not claim to be exclusive, nor is it organised in any specific way. It represents the result of brainstorming all the material covered in the preceding chapters. Its virtue is that it attempts to put together items that are found in a number of disparate places throughout the book, and which may not have been readily connected otherwise. We do not attempt here to cross-reference their every occurrence in the book.

Lexis
Word class – open/closed
Does any class seem over- or underrepresented? Some implications here include:

- a preponderance of adjectives and adverbs, suggesting a descriptive or evaluative text
- a high incidence of nouns, relating to nominalisation and lexical density, formality
- pronouns, especially the conative use of *you*, expressive *I,* impersonal *it*, inclusive/exclusive *we*, lack of first and second person pronouns in impersonal texts
- phrasal verbs, typical of informal, spoken language.

Core lexis/non-core lexis
Some items to consider here are vocabulary selection:

- simple, short, vernacular (informal tenor) vs. ornate, long, Latinate (formality, perhaps written mode)
- archaic, obsolete, dialect words. What do they aim to achieve?
- field-specific or 'technical' vocabulary, jargon, acronyms
- collocational restrictions, especially if 'broken'. Poetry often does this, as in the e. e. cummings' poem (Appendix A)
- different types and unusual use of discourse particles and interjections (mode). As an illustration here I would like to offer a

linguistics joke popular at the moment. A linguistics professor was teaching the class about double negatives and ventured to assert that in no languages was it possible to have a double positive meaning 'no'. A voice from the back of the room responded with 'Yeah, right.'

Connotative/denotative lexis
- Connotative, for example 'loaded', biased, emotive lexis (also called 'purr' and 'snarl' words by some linguists)
- Vogue/'buzz' words, clichés, euphemisms, 'doublespeak' and gobbledegook
- Slang, swearing and taboo words, innuendo
- Superlatives, persuasive words, hyperbole (consider tenor and field, such as advertising)
- 'Attitudinal' words, for example modal adverbs such as *unfortunately* and *perhaps*; emphatics/intensifiers (*fantastic*); and hedges/downtoners (*rather*, *quite*).

Lexical sets
- These contribute to the text's cohesion, help to identify its field, and may play a part in its persuasive effect.

Grammar
Verb phrases (VPs)
- Simple present forms *is/am/are* indicate a strong modality of certainty, commonly found in texts with a conative function; often used in highly nominalised texts where the sentence pattern S P PC tends to dominate. In addition, the verb *be* is used in many of the informationally marked structures, such as extraposition, cleft and pseudo-cleft, and most existential sentences. The simple present tense also suggests generalisation, as in informational texts, reports; the simple past tense is regularly used in narratives
- Voice: passive may be used for its impersonal, agentless potential, but is often used in order to alter the information distribution and to establish cohesion
- Mood: imperative, interrogative, declarative, exclamative. Consider the implications for tenor, especially issues of politeness; conative function; interactive situations, power relations, etc.
- Modal auxiliaries: modality (certainty, obligation); politeness, etc.

- Finite/non-finite*: a large number of present participles convey a sense of activity, past participles a sense of inertia and passivity, both are common in descriptive texts. Excessive use of present participles is said to be characteristic of the language of small children, as well as being, to some extent, indexical of the Anglo-Indian dialect.

Noun phrases (NPs)
- Complex NPs are characteristic of certain genres, such as journalese and bureaucratese, as well as of the written mode (see nominalisation and lexical density)
- Different types of dependents – for example peripheral dependents in apposition – are typical of journalese, as in *John Brown, the new MP*.

Adverb phrases (AdvPs)
- Check their position in the clause and within the VP, especially. See discussion in Section 11.3.

Clauses and sentences
- Minor vs. major sentences
- Sentence types: simple, compound, complex. These may reflect such factors as the age of the writer or of the projected audience
- Sentence complexity: left-branching structures, where the weight of grammatical structures to the left of the predicate is heavy, are more difficult to process, especially aurally, than right-branching ones, where the principle of end-weight is observed
- Information structure: active/passive, topic/focus, and any other 'marked' choices
- Impersonal constructions
- Verb/clause types: monotransitive, ditransitive, copulative, and the associated semantic roles, such as actor/patient, recipient and so on.

Visual and aural effects
These are responsible for important first impressions:

- Layout of advertisements, recipes, some poetry (especially concrete poetry)
- Charts, tables, graphs and so on

- Punctuation, particularly if marked, as in informal and conative texts (see Section 10.2.1). For example, the growing use of 'hype' exclamation marks in social media especially
- Use of capitals, as in 'flaming' on the internet, and also such 'creative' uses as the selection of capital letters to distinguish all the dialogue ascribed to Death, a character in the novels of Terry Pratchett
- Aural effects, such as alliteration, rhyme and rhythm – to attract attention and make texts memorable.

Rhetorical effects

- Rhetorical 'devices' – metaphor and simile, synecdoche and metonymy – and various types of comparison, contrast and association
- Patterning and sequence of every sort: parallel constructions, balance, repetition, climax. Common in all persuasive texts, they provide a sense of order and build up suspense. Note in particular the cumulative effect of sequences of two or three items. Interestingly, research on the structure and effect of political speeches finds that speakers are most likely to be interrupted after a triadic sequence, least often after a dyadic one, suggesting that some sense of conclusiveness is indeed associated with the triad. Patterns of threes are very common in all varieties of English
- In English, the principle of end-weight promotes our preference for short items to precede longer ones in lists. While it is considered more polite to mention 'ladies' and 'gentlemen' in that order, and the addressee or a third party before the speaker, politeness is sometimes disrupted for reasons of end-weight. Consider *men and women* vs. *ladies and gentlemen*, *Tom, Dick and Harry* vs. *Harry and I*
- Allusion and intertextuality, that is, the relationship between text, and reference to other texts. See Section 11.3 for illustration.

11.3 Demonstration Analyses: 'The Scope of Linguistics' and 'Mysteries'

In this section we demonstrate some of the methodology advocated in the preceding chapters. We first present an impressionistic, work in progress, note-form analysis of 'Experience and explanation' from

Appendix K, 'The Scope of Linguistics'. This is followed by a detailed, essay-form account of the language of Appendix G, 'Mysteries'.

11.3.1 'The Scope of Linguistics': a top-down analysis

Let us begin examining 'The Scope of Linguistics' with a quick, top-down analysis. We would predict from the title that this is an academic text, in the written mode, formal in tenor and exhibiting lexis specific to the field of linguistics. The dominant functions are expected to be referential and metalingual. As it is an expository text, we would expect it to be lexically dense, heavily nominalised, with long and complex NPs and a tendency for copulative clause structures. Subordination in preference to clause coordination, together with some presence of non-finite subordinate clauses, could be expected of a mature and erudite writer. We would expect the mood to be mostly declarative, that is, author-centred rather than giving an impression of an interactive relationship existing between the author and the readers We would expect there to be no minor clauses, phrasal verbs, slang or other such markers of spoken mode and informal tenor. Are our expectations borne out by the text?

Let us now use the checklist above, as well as the summary tables in Chapter 10, to examine in detail the actual text before us. Also, a partially labelled bracketing analysis of the first six sentences has been prepared. Comprising about 130 words, these sentences represent approximately a quarter of the whole text.

At a glance it would seem that the text is, indeed, quite lexically dense. There is a high proportion of open class words (14/27 in the first sentence, 4/8 in sentence two, 7/10 in sentence three, 11/19 in the last sentence) and a fairly high proportion of these are nouns (7/19 words in sentence three, 10/27 words in sentence five). Verbs are also heavily represented. In the six sentences of the text, as well as the highly frequent *be*, we have *bound (up)*, *discern*, *want*, *see*, *get (out)*, *explain*, *depends*, *provide*, *enable*, *set (up)*, *define*. A high proportion of the verbs are phrasal and phrasal-prepositional. In the six sentences under consideration, there are only seven adjectives and six adverbs (three of which are, however, part of phrasal verb constructions).

Turning now to closed class words, we find that there are many pronouns and prepositions, but virtually no modal auxiliaries; there are two instances of dynamic *can* in the six sentences examined closely, and three more auxiliaries (*will*, *may* and another *can*) in the whole of the rest of the text. The relative absence of modal qualification, as well as the

overwhelming frequency of copulative constructions, as in *The purpose of linguistics is to explain language*, gives this text a strong tone of clarity and self-assurance.

The nouns are typically long and Latinate, a large proportion of them related to the field stated in the text's title; for example, *language*, *linguistics*, *experience*, *explanation*, *design features*, *signs*, *abstraction*, *conceptual categories*. The dominant word, *language*, appears regularly throughout the text (ten times in a page of text, in fact). In addition, the word *language* serves as the antecedent to the pronouns *its*, *it* and *this*, and there is also an extensive lexical set associated with *language*: *words*, *questions* and *signs*. The NPs are often very complex (see the labelled bracketing analysis in Section 11.3.2) and consequently a large number of sentences select the S P PCs pattern. The verb *be* appears as Mv at least once in most sentences, although some of these instances of *be* as Mv also indicate the occurrence of extraposition, existential, cleft and pseudo-cleft constructions, all of which are made use of in this text. As expected, only declarative mood is used. There is a great deal of both subordination and coordination present in the text, and the sentences are stylistically well balanced but often extremely complex. (Again, see the analysis below.)

On the other hand, while it does appear that the text is characteristic of the written mode – heavily nominalised, lexically dense and static, and extremely complex in NP structure – the tightly packed information in this text is made more accessible and more enjoyable by a number of features: a high level of all kinds of cohesive devices (note the particularly high incidence of pronominal use), a careful selection of information packaging strategies, and a number of poetic features based on sound and balance. Consider the alliteration used: for example, *remove* and *reality*, *conceptual categories*, *reflect* or *record*, *cultural custom* and ... *convention*, as well as the assonance in *intricately* and *intimately*, and *experience* and *explanation*. A sense of stylistic elegance and intellectual clarity is further developed by balanced pairs of words, such as *proactive/reactive*, *reflect/record*, *confine/define*. There is also the presence of some features that are characteristic of spoken texts. Phrasal verbs like *bound up with*, *set up*, *get out of*, *depend on*, *look for* and *allow for* abound. Several sentences begin informally with the coordinators *and* and *but*, there are several instances of *of course*, and the inclusive *we* (and *our*) and informal *you* all help to give the impression of a cooperative, dialogic text.

In conclusion, while the text's primary functions do appear to be referential and metalingual, as attested by the high incidence of third

person neuter pronouns, the overtly metalingual phrase *in other words*, and the many instances of paraphrase and metaphor, the poetic and phatic functions are also involved. As the linguistic realisations of these overlap with those of the spoken mode and informal tenor, the overall impression created is of a mixed mode text, perhaps a lecture.

11.3.2   'The Scope of Linguistics': detailed analysis

In the following labelled bracketing examination of the six sentences of this text (Appendix K), we have labelled only those constituents that we considered to be noteworthy in some way. The labelled bracketing has been chosen over the other two methods (tree diagrams and 'flattened analysis') as it is best suited for in-text, interlinear gloss. Short notes listing points of interest follow each sentence analysis.

Sentence 1:

$[_{NP}^{S}(_{N}^{H}Language)\ \langle_{Aux}^{M}is\ (_{AdvP}^{A}so\ \langle intricately\ and\ intimately\rangle)_{VP}^{P}\ (_{Mv}^{H}bound$

$_{AdvP}^{Cx}(up)_{PP}^{Cx}(with\ (human\ life))\ \overset{+}{and}\ _{VP}^{P}(is)_{NP}^{PCs}(so\ familiar\ an\ experience$

$_{Cl}^{M}[_{Subord}^{Rel}that\ _{Cl}^{Ax}[_{NP}^{S}(its\ essential\ nature)_{VP}^{P}(is)_{AdjP}^{PCs}(not\ easy\ _{Cli}^{C}[(to$

$discern)])]])\rangle]$

Note: discontinuous VP, phrasal-prepositional verb, copulative PCs twice, agentless passive, inversion in NP, coordination at word and clause level.

Sentence 2:

$\langle[_{ACl}^{A}[If\ [(you)(are)_{PP}^{Cx}(in\ (the\ middle\ (of\ (the\ wood\ ))))]]\ _{NP}^{S}(_{Pn}^{H}all$

$_{RCl}^{M}[(you)\ (can\ see)])_{VP}^{P}(is)_{NP}^{PCs}(the\ trees)]\overset{+}{:}\ [_{ACl}^{A}[if\ [(you)\ (want)$

$_{Cli}^{Cx}[_{VP}^{P}(to\ see)_{NP}^{Od}(the\ wood\ )]]]_{NP}^{S}(you)_{VP}^{P}(have)_{Cli}^{Cx}[_{VP}^{P}(to\ get)_{AdvP}^{Cx}(out)_{PP}^{Cx}(of$

$(it))]]]\rangle$

Note: asyndetic coordination, subordinate clauses, RCl, phrasal verb, catenative constructions (Cx/Cli).

Sentence 3

$\langle[_{NP}^{S}(\textit{The purpose }(of\ (linguistics)))_{VP}^{P}(is)_{Cli}^{PCs}[_{VP}^{P}(to\ explain)_{NP}^{Od}(language)]]\ \overset{+}{and}$
$[_{NP}^{S}(explanation)_{VP}^{P}(depends)_{PP}^{Cx}(on\ (same\ dissociation\ _{PP}^{M}(from\ (the$
$immediacy\ (of\ (experience)))))))]\rangle$

Note: coordination, phrasal verb, complex NP structure.

Sentence 4

$[_{NP}^{S}(\textit{There})_{VP}^{P}(is)_{NP}^{Cx}(_{Pn}^{H}nothing\ _{Cl}^{M}[(unusual)\ (about\ (this))]),_{PP}^{PD}(of\ course)]$

Note: existential, verbless clause as M.

Sentence 5

$[_{ACl}^{A}[As\ [(we)\ (have\ seen)]]\ _{NP}^{S}(it)_{VP}^{P}(is)_{NP}^{PCs}(_{Pn}^{H}one\ (_{PP}^{M}of\ (the\ design\ features$
$(of\ (language\ itself)))))_{Cl}^{Cx}[that\ [(it)\ (is)_{PP}^{Cx}(at\ (a\ remove\ (from\ (the\ actual$
$reality\ (of\ (things)))))))]]]$

Note: extraposition, complex NP structure.

Sentence 6

$\langle[_{NP}^{S}(\textit{Its signs})\langle_{VP}^{P}(are)_{AdjP}^{PCs}(arbitrary)\ \overset{+}{and}\ \overset{M}{\underset{Aux}{can}}\ \overset{A}{\underset{AdvP}{(therefore)}}\ \overset{P}{\underset{VP}{}}$
$(_{Mv}^{H}(provide)_{PP}^{Cx}(for\ (abstraction)))]\ \vdots\ [_{NP}^{S}(they)_{VP}^{P}(enable)_{NP}^{Od}(us)_{Cli}^{Cx}[_{VP}^{P}(to\ set)$
$_{AdvP}^{Cx}(up)_{NP}^{Od}(conceptual\ categories)_{Acl}^{A}[_{VP}^{P}(to\ define)_{NP}^{Od}(our\ world)]]]\rangle$

Note: coordination, copulative, phrasal verbs, discontinuous VP, A could be interpreted as M/reduced RCl is Od.

11.3.3 'Mysteries'

The text used in the next exercise comes from an essay entitled 'Mysteries', published in *Crossing the Gap*, a book of occasional essays by the

Australian journalist and writer, Christopher Koch (Appendix G). This edited version of the original essay was used as part of a New South Wales (Australia) Higher School Certificate English examination paper, the students having been instructed to 'explore the effects of the different kinds of language in the given passage'.

We begin with a 'top-down' perspective, noting that this essay belongs to a well-known genre, represented by the writings of Charles Lamb, William Hazlitt, George Orwell and others. A personal essay is typically a highly polished piece of writing, usually extremely subjective, its whole purpose being to express the author's attitudes, values and emotions. Personal essays, in contrast with political and occasional topical issues, are not concerned with telling a story, although they may use them, as ours does, to illustrate a point in the argument, or as a point of departure for the author's personal musings. Personal essays may be intensely conative in function, but typically they do not set out either to inform or to persuade; they aim merely to reflect upon some topic of interest or concern for the author.

Let us now adopt the 'bottom-up' approach, presenting a detailed analysis of the grammatical structures of the entire text, as well as comprehensive lists of lexical sets, rhetorical devices and other features suggested in the checklist. Since the passage, as it is given, clearly falls into three stylistically separate units, we shall label these parts A, B and C. A refers to the poem 'Mapooram', B to the Tyrolean myth, and C to the remainder; that is, the body of Koch's essay, including the two lines preceding and introducing Part B. Part C is actually considerably longer in the full text. However, the rest of the text is stylistically consistent with the passage as it stands and the complete essay is far too long for detailed analysis. As there is an obvious difference in tone and style between the three sections, a separate analysis will be presented for each section and their salient features then compared.

Parts A and B have in common a number of important characteristics. Although the entire essay is in the written mode, the mode of the 'Mapooram' and the Tyrolean myth is intended to be heard as spoken; we are told that 'Mapooram' was 'related by the Aboriginal Fred Biggs', while, as a myth/fairy tale, part B would most likely have been composed with oral delivery in mind. The purpose of both is narrative; on their surface they each tell a simple story. The textual features of the spoken mode in these passages are the predominance of relatively simple lexis and the compound sentence pattern. 'Mapooram' uses direct addressee-involving techniques, such as the imperative and interrogative clause types, the personal pronoun *you*, and the three dots to suggest the

trailing-off effect common in spontaneous speech. Part B is somewhat more formal, but for the most part it also uses simple, almost childlike, sentence structure and short, native core vocabulary.

The two passages differ in some minor ways: A is verse and B is prose. A has several dialect items from Aboriginal English (e.g. *a clever-feller*, *sing the tree*), while in B there are a number of lexical items typical of fairy tales. The principal difference between A and B, and the one we shall examine now in some detail, is their handling of the actor/ patient semantic roles, which help to create the very different world-views apparent in the two passages. In semantic terms, the role of the actor identifies the performer of the action of the verb, and the role of the patient identifies one who is directly affected by the action of the verb. Syntactically, these two roles are typically represented by the sub-ject and the direct object respectively in an active transitive sentence. The patient becomes the subject of a sentence in the passive voice and the actor may be represented as the axis of an optional PP introduced by *by*, the omission of this PP resulting in what is commonly called an 'agentless passive'.

In 'Mapooram', there are 12 clauses (both main and subordinate) and 4 of them have *you* as subject; that is, those containing the verbs *lie down*, *hear*, *say*, *go and find.* The subjects of the other 6 clauses are all introduced in a logical progression from the concrete *wind* to the abstract *Mapooram* (2 instances), to the concrete *tree*, *rubbing itself*, and so finally to the spirit *Wireengun, the clever-feller*, who *sings that tree* (2 instances). *You* is never represented as the patient; in other words, the *you*, the individual addressee in the poem, and also the generic Every-man he represents, is portrayed as a person fully in charge of their own destiny. He actively seeks out and comfortably responds to the infor-mation about the fantasy world of his culture – the wind making the tree sing and thereby allowing the spirit *Wireengun* to release/create the *Mapooram*, *a song to bring things out, and close things up … .*

The power relations between Man and the Other are very differently configured in the Tyrolean story. There are 26 clauses in this passage. Because of the position of this passage within the body of the essay, and strong stylistic similarities between B and C, we are assuming that the fairy story is 'retold' for us by Koch in his own words. Of the 26 clauses, 8 active clauses have the 'herdsman' as subject, plus 2 passive clauses; 6 others have the 'herdsman' as object. The remaining subject NPs refer to the 'lady' (3), the 'air', 'food', 'wine' and 'fairies' (5), 'everything' and 'no one' (2), and 'old crone'/'Death' (5). However, although the herds-man is commonly represented as subject, he rarely engages in deliberate

action: he 'follows'. The relatively high proportion of subject/agent clauses (11/26) associated with the herdsman becomes farcical when we look more closely at the types of actions that are ascribed to our Everyman. The herdsman 'follows' his cows, 'finds' the place enchanting, 'accepts' the lady's offer, 'forgets' his home and family, 'grows' homesick, 'begs to be allowed' to return, 'gets back', is 'asked' where he'd been and 'falls dead'. At the same time, he is also consistently presented as the patient, with the other participants 'meeting' him, 'leading' him, 'giving' him food, 'offering' him work, 'allowing' him to return, not 'recognising' him, 'approaching' him, 'asking' him, 'looking' at him, 'taking' him by the hand and thereby killing him. At the risk of labouring the point, this is hardly a portrayal of a man of action, a man in charge of his own destiny.

Two other stylistic differences between A and B are worth exploring at this point as they contribute to the overall worldview distinguishing the passages. Part A gives an impression of activity and immediacy in its choice of the present tense and its almost total absence of scene-setting – there are no adjectives and only one adverb, *somewhere.* However, perhaps paradoxically, such sparsity and 'presentness' also suggest timelessness and the universality of the experience: the time is both right now and always, the actor both 'you' and everyone. The verbs in part B, on the other hand, are almost entirely in the past tense, emphasised by several time adjuncts, for example *one day*, *for a time*, *after a time*, *for 200 years.* This is a typically narrative pattern and the distancing effect of the past tense is further reinforced by explicit reference to the world of the Faerie (*unearthly*, *outer world*, *different* and the capitalised *Death*).

The choice of tenses and lexical sets is primarily motivated by the generic requirements of the two passages, that is, what is expected of them and what tells us that this text is a fairy tale. However, in contrast with each other and reinforced by the clause structure dominant in the sections describing the world of the fairies; that is, the static, descriptive but inactive copulative, often with ellipsis of the copula, as in *the air … was … balmy, its food delicious*, this pattern also has a noticeable effect on the balance of power set up in the two passages. In part A, the 'fantastic' is *Wireengun*, a 'he'; the mood choices are the addressee-involving imperative and interrogative; and the Everyman, 'you', is presented as freely and actively participating in the interaction (*you hear*, *you say*, *you go*). In B, the other players are 'a lady' and an 'old crone/Death', and, as previously suggested, the subject/object configurations suggest that it is they who hold the balance of power. In other words, in A, the fantastic is presented as natural, ever-present, male and freely chosen by

the protagonist; in B, the fantasy is part of a static, distant, female and unnatural world into which the protagonist stumbles quite unintentionally, and in which he remains through a mixture of self-indulgence and emotional inertia.

Like his cows, natural but without real intention, the herdsman enters the Other world, where the fairies are powerful, but nevertheless do not appear to have any real intention of keeping him in thrall. Everyman finds that life has passed him by. Using parts A and B as his point of departure, is this then the view Koch argues in passage C? Not quite. There seems to be considerable skewing of both the proposition and the tone; playing down the pleasant and attractive elements suggested in both A and B. Fantasising is now presented as much more a factor of our inner dream world, as a kind of physical illness, and, importantly, as a deliberate choice on the part of the protagonists.

Part C differs from A and B in that it is no longer the rather flat, unadorned narrative favoured by those two, but a piece of expository writing that uses a number of different devices of persuasion to advance its central thesis. The guiding metaphors upon which Koch builds his perhaps unwarranted reading of the worldview presented in the opening illustrations are embodied in two literary allusions: one to the 'All the world's a stage' speech from Shakespeare's *As You Like It*, with *We are all actors*, and the other to Keats's 'La Belle Dame Sans Merci', whose *On the cold hill's side* is referred to in the second paragraph by the words *we wake on the hillside*. What further unifies the two allusions and gives considerable force to Koch's message is a whole string of threatening negative sexual images – the dissolving genders of the *roles* we choose to play on *some insubstantial stage*; *some sort of death* that empties us *of the will to live*, and drains us of our *capacity to love what's real*; *the fatal loss of time* that we spend *addicted to … perversity*, which causes us to *waste away*. Physically positioned at the centre of this run of images is the paradoxical coupling of *masturbation* and *the spirit*.

The argument is based on a false premise. The allusion to Keats is quite unwarranted. The herdsman in the fairy tale is not compelled to his actions by any unearthly power, but seems motivated rather by his own complacency; and the appetites described in the Tyrolean tale are not sexual, but rather less romantic and passionate: food, wine and weather. Sexual interpretation could, perhaps, be foisted by the modern Western reader upon 'Mapooram' through the image of the *tree rubbing itself*, but such a suggestion would need to be substantiated. Why then does Koch use such explicit and profuse sexual imagery where logically there seems no such implication? The answer could be that he does it for

the same reason that our car advertisements tend to feature semi-naked nymphets, and our political propagandists cry 'rape' in order to whip up a spot of racial tension. Sexual innuendo is a powerful tool of the professional persuader.

The persuasive nature of part C is developed through every potential strand of the text – through the selection of lexis and grammatical structures, through the information packaging and cohesion, and the marked, emphatic positioning of attitudinal adverbials, and through the use of a number of specific rhetorical patterns and devices. The latter include synecdoche (*the West*), typical of political journalese; and repetition and parallelism at every level of language structure – lexis, grammar and sound. There are several lengthy lexical sets in the passage. As well as the above mentioned set of words that describe desire as a pathological problem: *addicted*, *masturbation*, *perversity*, *dissolve*, *drained*, *genders* and *long*, there is a 14-item set based on *myth*, including *Fairyland*, *magic*, *legends*; a 16-item one based on *illusion*, such as *shadows*, *actors*, *stage*, *real*, *dream*; and a 10-item set of words dealing with the dissemination of culture – *stories*, *video machines*, *films.*

Several basic contrasts are developed and emphasised through lexical repetition: real vs. magic, children vs. adults, Christian vs. pre-Christian, Christianity vs. scientific humanism, basic myth vs. society's new basis, and body vs. spirit.

The use of poetic resources such as sound symbolism may also serve to contribute to the overall persuasiveness of part C. In his *Cambridge Encyclopedia of the English Language* (p. 414), David Crystal suggests that the sounds [l] and [m] are strongly associated with sensual, pleasurable experience. Throughout this passage, Koch chooses patterns where these sounds predominate; for example, in the first sentence, we have *to long*, *time*, *myth*, *paramount*, *magic*, *real*, *more and more*, and *illusion*. In fact, the frequency of alliterative patterns in part C is quite out of the ordinary.

Several other patterns emerge on consideration of the grammatical and informational structures in part C. Let us explore two of these: the distribution of subject and topic, and the patterning of modality. Of the 27 clauses in C (considering both main and subordinate clauses in this exercise), *we* appears as the subject and the topic in 4, and as the subject preceded by a coordination or cohesive adjunct in 3 further clauses (*and*, *but*, *instead*, *perhaps*). However, in two more clauses, the subject is *the West*, a synecdoche for *we*, and 6 non-initial clauses in a long compound asyndetic sentence begin with other lexical variants for *we*: *our*, *whose* and *few people.* If we combine the subject/topic patterns

with the dominant clause patterns associated with them – transitive (7), intransitive (11), copulative (9) – an interesting overlap becomes apparent. The relatively unusual pattern for this text is the transitive, the one clause pattern where one participant is seen as directly affecting another participant. In 5 of the 7 transitive clauses in part C, the action-initiating participant is *we*, the only others being *this one* (*message of warning*) and *masturbation.* The objects of the *we*-initiated actions are *the time when myth was paramount*, *long hours with … our video machines*, *ancient fables*, *'roles'* and so on. *We* is thus grammatically emphasised to represent the participants consciously initiating their own choices, as having and using free will in their return to paganism.

The copulative pattern provides a powerful means throughout part C for the stating of what it argues are facts, as in the following:

Fairy stories … [are] messages of warning
The penalty is some sort of death
We are all actors
The West is no longer … a Christian society
It is plainly not so at all.

Two existential sentences, the opening *There are many variants …* and *But there's a penalty*, might be considered as having a similar effect; that is, a new, important piece of argument is placed in the position of informational focus, and the verb *be* additionally suggests that this information is unquestionably, unarguably true.

The last feature we shall examine in the present discussion concerns the unusually prominent role played by the adjuncts in this passage. There is scarcely a clause in part C that does not contain at least one, often up to three adjuncts. These fall into two broad semantic fields: one dealing with time and the other with modality, that is, the author's assertion of the validity of his evidence and his attempts to structure and influence our perception of it. Expressions like *for the present era*, *currently*, *at any moment* and *some time ago* constitute the first group; into the second fall items such as *perhaps*, *plainly*, *really* and *tacitly* and perhaps *rarely* and *always*. Although in contemporary analysis, we would probably best consider these latter as a matter of aspectuality rather than modality, both *rarely* and *always* are often used for persuasive purposes.

What is of particular interest in part C is the placement of adjuncts in the clause: a very large proportion are placed in informationally marked positions. Typically, adjuncts come at the end of the clause, trailing behind the main constituents, or at the very beginning of the

clause, a characteristic position for attitudinal adverbs. In C, many adjuncts are found in the middle of the verb phrase, between the auxiliary and the following (main) verb, or between two verbs in a catenative relationship. In this position, they are most intrusive and consequently most attention-drawing. Some examples of this tendency are *were rarely meant*; *seems currently to long*; *seem, at least for a good proportion of our time, to be living.* The bluntness of this effect is softened by a seeming tentativeness introduced in the use of hedges, notably *perhaps* (used twice), and of modal auxiliaries such as *may* and *would.* This manipulation of our certainties is evident also in Koch's use of the agentless passive, of the ambiguously authorial/inclusive *we*, and in his selection of many patterns of the spoken mode (compound sentences, often beginning with *and*, phrasal verbs and interrogatives). All these contribute to our sense of being involved, complicit partners in his argument and are characteristic of texts of this genre.

In this section we have tried to demonstrate that, as suggested in Section 11.2, an extensive linguistic description of the stylistic choices available to the writer may repay us generously with unexpected insights. These, in turn, enable us to arrive at an evaluation of a text based on principles that are both less subjective and more transparent than they may have been without the use of such linguistic procedures.

Exercises

As we have already noted in Section 11.3.3, the New South Wales (Australia) Higher School Certificate English examination paper instructed students to 'explore the effects of the different kinds of language in the given passage'. Part B of this book has been designed to help students do just that. We have, however, provided you with a set of guidelines for each of the three final exercises.

1. 'Creature Features', Appendix E

    You have already begun analysing aspects of this text, for example in Chapter 9, Exercise 4e. Now prepare a full analysis of the language of Flannery's text. What sort of a text is it? Descriptive, expository, persuasive/interactive, personal/impersonal? Is this an easy text to read? What criteria should we use to come to a conclusion?

    Important aspects of this text are likely to be lexical density, vertical complexity (see Section 7.7.1) and subordination. Note that the

Plain English policy advocates an average of 15 words per sentence, and that vertical complexity and subordination, especially of non-finite clauses, are markers of a mature written text.

2. Tim Flannery is a prolific writer. Take a page from several of his other works (three to four separate pages should be more than enough). Compare all the language features you have examined in Question 1 with your new data. Can you presume to develop some idea of this writer's style? Are these features characteristic of what Flannery sees as the function of his writing?

3. 'When Arnie speaks, there's no going back', Appendix I

   This text is again taken from the *Sydney Morning Herald*.

   a) How does the language of this text differ from that of the other two texts taken from the same paper (Appendices E and J)?

   b) You have already begun the examination of some of the most notable features of this text in the exercises in Chapters 9 and 10; that is, its use of minor sentences, and the different 'voices' characterising the author and the protagonist. What are the dominant functions of language used – and to what effect? One could argue that, unusually, all six of Jakobson's functions of language are important to some extent at least in this text. Explore the wealth of other linguistic devices employed in this text. Look at patterns of lexis, phrase and sentence structure, information distribution, cohesion, poetic and phatic devices. What are the factors of field, mode and tenor of note here? Are the register factors easy to identify in this text?

4. 'The rising levels of debt that stop workers clocking off', Appendix J

   This is a long text dominated by quite extraordinary cohesion. You have already begun to look at the wealth of cohesive devices used by this text in the exercises in Chapter 9. Examine the text now from all the perspectives studied in this book – its lexis and grammatical patterns, information distribution, cohesion and poetic devices. What do you consider to be the principal function of this text? What might have been the other important functions? Are the register factors easy to identify in this text? You may find

some unexpected similarity in the way this text and the text in the Appendix K were written.

5.   Taking the above guidelines to 'explore the effects of different kinds of language', apply them to any other text/texts that interest you or are important in your academic or other pursuits. Perhaps you like crime fiction – compare a text with non-fictional material on the same topic. You may find material of a semi-fictional character, for example the Australian author Helen Garner's work, such as *Joe Cinque's Consolation* (2004). Explore the effects of language in all of these, and any other texts.

Appendix A

'anyone lived in a pretty how town'

e. e. cummings

(1) anyone lived in a pretty how town
     (with up so floating many bells down)
     spring summer autumn winter
     he sang his didn't he danced his did.

(2) Women and men (both little and small)
     cared for anyone not at all
     they sowed their isn't they reaped their same
     sun moon stars rain

(3) children guessed (but only a few
     and down they forgot as up they grew
     autumn winter spring summer)
     that no one loved him more by more

(4) when by now and tree by leaf
     she laughed his joy she cried his grief
     bird by snow and stir by still
     anyone's any was all to her

(5) someones married their everyones
     laughed their cryings and did their dance
     (sleep wake hope and then) they
     said their nevers and slept their dream

(6) stars rain sun moon
     (and only the snow can begin to explain
     how children are apt to forget to remember
     with up so floating many bells down)

(7)   one day anyone died i guess
       (and no one stooped to kiss his face)
       busy folk buried them side by side
       little by little and was by was

(8)   all by all and deep by deep
       and more by more they dream their sleep
       no one and anyone earth by april
       wish by spirit and if by yes.

(9)   Women and men (both dong and ding)
       summer autumn winter spring
       reaped their sowing and went their came
       sun moon stars rain

Appendix B

Recipe

Fantastic caramel cream rice pudding

90 gm butter (must be unsalted)
¾ cup lightly packed soft brown sugar
2 cups cream
1½ cups milk
1 cup rice (short or long grain)
about ½ cup extra cream for top
cinnamon or nutmeg for dusting

1. In a heavy saucepan melt the butter and sugar over medium heat and stir until sugar is dissolved.
2. Increase heat to high and gradually stir in cream and milk.
3. When mixture reaches boiling point stir in rice, cover saucepan and cook over low heat about 35–40 minutes. Stir every 10–15 minutes until most of the liquid is absorbed and rice is creamy.
4. Spoon the remaining cream on top of rice and sprinkle with nutmeg or cinnamon as preferred.

Serves 4. (Don't skimp on the cream and butter. This is not a healthy pud).

Appendix C

Appendix D

Army recruitment advertisement

You've done your best, now do better.

Finally, your Year 12 results are here. So how did you go?

Whatever your results, it's now time to make plans for the future.

But how do you know whether or not your further studies will give you the edge you need to succeed in a fiercely competitive job market?

Well, when you study through the Australian Army, getting a well-paid, secure job is a certainty.

Whether it's a university degree, technical and trade training, or leadership and management skills, the Army will guarantee you a job when you graduate.

Plus the Army will pay you to study and cover costs like books, HECS fees and equipment.

It's not just your academic skills that can give you an edge either.

In the Army, you gain a new sense of confidence, leadership and discipline. Which are qualities that are always in demand.

Indeed, the civilian work force is always looking for people with the endeavour, attitude and ability only the Army provides.

So if you're looking for a better tertiary qualification, just call 13 19 01 today.

The Army. The Edge. 13 19 01

Appendix E

Extract from 'Creature Features'

**Tim Flannery, *Sydney Morning
Herald*, 30 December 1997**

(1) Dr Mike Grey, arachnologist, counts the first day of summer from
the arrival of the first male funnel-web at his office. A steady stream of
spiders crosses his desk year-round, many brought in by members of the
public curious about the identity of the spider found in their garden.
Male funnel-webs choose summer to wander in search of a mate, bring-
ing the normally reclusive creatures into contact with humanity. Grey,
by the way, assures me that he also knows when the school holidays have
started, by the vast increase in funnel-webs brought by those enjoying
time outdoors.

(2) Dr John Paxton, ichthyologist, has a different method of predic-
tion. Each year, tropical sharks move down the coast towards Sydney as
the warm current extends southwards. As well as sharks, it brings tropical
fish, tropical pelagic life and even sea turtles. As with so much else in
Sydney, the timing of the current's arrival, its intensity and duration
varies considerably from year to year. But, when the water temperature
reaches 21 degrees C (as it did in the first week of December this year),
tropical sharks are likely to have arrived off the Sydney coast.

(3) Paxton believes that some Sydney newspaper editors exhibit their
own behavioural changes that mark the arrival of summer. He says he
counts summer as having started when he reads his first sensationalist,
scaremongering shark attack article. In vain, he points out each Decem-
ber that it has been 34 years since a fatal shark attack occurred in the Syd-
ney area and 60 years since a fatal shark attack off a Sydney surf beach.
Such articles used to be annual occurrences before the media under-
stood the importance of sharks. Lately they have returned, prompted no
doubt by the 'feeding frenzies' such articles cause at newsagents.

Appendix F

Interview with Sydney band FourPlay

Transcribed from radio Triple J, January 1998

Announcer: If you think classical string instruments are incompatible with rock music, you've probably just never been to see the Sydney band FourPlay. They're a rock string quartet formed a few years ago when the classically trained performers discovered pickups and traded their Mendelssohn for Metallica and the Beastie Boys. Since then they've played big crowds like the Byron Bay Festival and are on the verge of releasing their first CD of covers and originals. Our Loud* reporter, NM, sought out the band to find out just how you do rock with a cello.

TH: It all started actually as a … as a classical string quartet. Peter and myself and Chris who isn't here and our old violinist Pip, we were all members of the Australian Youth Orchestra … and got together and one day we decided to play Purple Haze (which the Kronos Quartet had done) for a friend's 21st and it went down well so we kept doing it and we did other things … we went into the New South Wales Uni Band Comp and to our own surprise as well as everyone else's we won the New South Wales Uni section and it all took off from there …
[music]
NM (interviewer): I know it sounds like a cliché but … Four- Play? [all laugh] … it's got sort of sexual overtones … tell me about that [giggles]
LG: Well, we're a highly sexual band … we just ooze animal magnetism on stage and we just thought it was appropriate [giggles … all laugh]
TH: [cuts into laughter] well, it was a joke really [all laugh]
 … erm …

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* The Loud Festival was a youth festival of music and the arts held only through the media in January 1998.

PH: I think it's a it's a way of of showing that we we're sort of not your average classical string quartet; you know it's not like a name for a string quartet it's like a name for a a a rock band and so it's got a bit of … it doesn't take itself too seriously …

[music]

NM: Why rock on strings? You … why … What's inspired you to do this and I guess step out of what people expect a string quartet to play to doing some really – you know – stuff that heavy guitars and drums and really noisy singers usually perform?

LG: Well why should *they* have all the fun? [all laugh]

PH: Yeah, why not?

TH: We'd always wanted to play in bands and we only play these instruments … well Peter plays piano as well … and I can play didgeridoo and things but you know … you can't it's … it's not expected to to play to play this music on string instruments and we just thought why not, let's do it …

LG: and we can scratch … and we can make noisy things …

PH: and we can scratch away … and play … and use distortion pedals and whatever and sound like a whole rock thing and it's

TH: and use distortion and [indistinct] really great …

LG: Well, we can certainly get sounds out of our instruments that … you wouldn't hear anywhere else … there's a lot of sort of bridge bashing and things like that and I think we do take people by surprise … [mmm] you know they don't really expect what we're going to come out with … you know they're certainly not expecting … distortion wah wah viola …

[music]

NM: Well, what about audience responses? Tell me about some of these? Or … what do your audiences think of you?

LG: Well, we've had … head bangers and and and moshers at some of our gigs … you know that's that's a first … what else? [all laugh]

PH: We get a really good reaction from most of the crowds … we cross a a diverse spectrum … people at at just really kind of rock gigs really like the music .coz they you know they know a lot of the stuff we play and they enjoy it because we get into the music and we don't kind of make it austere and what they think of as classical – it's a rock performance so they get into it …

TH: I think that our teachers were a little less impressed [all laugh] although … they've been very supportive … but it does … play around with your technique. to get up on stage and muck around … so … yeah

[laughs] I think they enjoy the music but … less impressed by what what we are doing to ourselves and our instruments …

NM: Well … that's it … I mean you treat your instruments pretty meanly … how do they stand up … how do your instruments stand up?

LG: Well. I know that I have to rehair my bow more often because every time I play Beastie Boys about 6 bow hairs will … sort of … fly off [laugh]

PH: Yeah yeah that's right

TH: I've actually got a special bow which I … I use for FourPlay which is a fibreglass bow rather than your delicate eighteenth-century piece of wood – it's a chunk of fibreglass with some horsehairs attached which is totally unbreakable [all laugh] … it's fun … it's fun to play …

LG: You should see what Tim does …

[music]

Announcer: TH and PH and LG from the rock string quartet Four-Play going out with a Jeff Buckley cover. They were speaking to Loud reporter NM. And here's a song they were doing early on in the piece. [music]

Appendix G

'Mysteries'

Christopher Koch

Extract from 'Mysteries', in *Crossing the Gap: A Book of Occasional Essays* (1987)

(A)   Go out and camp somewhere. You're lying down.
        A wind comes, and you hear this 'Mapooram'.
        'What's that?' you say. Why that's a Mapooram.
        You go and find that tree rubbing itself.
        It makes all sorts of noises in the wind …

        A Wireengun, a clever-feller, sings
        that tree. He hums a song, a Mapooram:
        A song to bring things out, and close things up …

<div align="right">

Mapooram, related by the
Aboriginal Fred Biggs to
the poet Roland Robinson.

</div>

There are many variants on the basic myth of the visit to Fairyland. In a version from the Austrian Tyrol, it runs like this.

(B)   A herdsman one day followed his cows across a hillside, and under a great stone, and so into a cave. There he was met by a lady. She gave him food, and led him into a strange, gentle countryside, where she offered him work as a gardener. He found the place so enchanting that he accepted her offer; and for a time he forgot his home, his family, and the life he had left outside. The air of that place was always balmy, its food delicious, its wine like nectar, and its people of unearthly beauty, since these were fairies.

But after a time the man grew homesick, and begged to be allowed to return to the outer world. He was allowed to do so; but when he got back, everything looked different – and no one recognised him except one old crone. She came up to him and said: 'Where have you been? I've been looking for you for 200 years'. And she took him by the hand and he fell dead; for she was Death.

(C) Fairy stories like this were rarely meant for children, but were messages of warning; and perhaps this one holds a warning for the present era. The West seems currently to long for a return to the time when myth was paramount, and magic real, and to be more and more preoccupied with illusion. We spend long hours with the shadows on our video machines; our stores are full of books on legends and fairy lore for adults; our science fiction imitates ancient fables, and more and more of our films are re-creations of myth and fable as well. And we seem, at least for a good proportion of our time, to be living at second hand. We talk constantly of 'roles' and 'images' and 'fantasies'. We are all actors, it seems, on some insubstantial stage, whose identities and even genders, may at any moment dissolve.

But there's a penalty for addiction to illusion, as the stories of the visit to Fairyland have always insisted; and the penalty is some sort of death. We wake on the hillside not only to discover a fatal loss of time, but that our fantasy has emptied us of the will to live; masturbation of the spirit has drained us of our capacity to love what's real. Addicted to Elfland's dream and perversity, we waste away.

The West is no longer – officially at any rate – a Christian society. Few people seem to be asking what sort of society it is, perhaps because it was tacitly agreed some time ago that its new basis would be scientific humanism. But has this really turned out to be true? As far as the counter-culture is concerned – and a good deal of our popular culture as well – it is plainly not so at all; instead, we have a society that's increasingly reaching back to paganism: to worship of the earth, and to the myths and beliefs and values of the pre-Christian world.

Appendix H

'The Sun Rising'

John Donne

> BUSY old fool, unruly Sun,
> Why dost thou thus,
> Through windows, and through curtains, call on us?
> Must to thy motions lovers' seasons run?
> Saucy pedantic wretch, go chide
> Late school-boys and sour prentices,
> Go tell court-huntsmen that the king will ride,
> Call country ants to harvest offices;
> Love, all alike, no season knows nor clime,
> Nor hours, days, months, which are the rags of time.
>
> Thy beams so reverend, and strong
> Why shouldst thou think?
> I could eclipse and cloud them with a wink,
> But that I would not lose her sight so long.
> If her eyes have not blinded thine,
> Look, and to-morrow late tell me,
> Whether both th' Indias of spice and mine
> Be where thou left'st them, or lie here with me.
> Ask for those kings whom thou saw'st yesterday,
> And thou shalt hear, "All here in one bed lay."
>
> She's all states, and all princes I;
> Nothing else is;
> Princes do but play us; compared to this,
> All honour's mimic, all wealth alchemy.
> Thou, Sun, art half as happy as we.
> In that the world's contracted thus:
> Thine age asks ease, and since thy duties be
> To warm the world, that's done in warming us.
> Shine here to us, and thou art everywhere;
> This bed thy center is, these walls thy sphere.

Source:

Donne, John. *Poems of John Donne*, vol. 1, ed. E. K. Chambers. London: Lawrence & Bullen, 1896, 7–8.

Appendix I

'When Arnie speaks, there's no going back'

Ruth Wajnryb, Sydney Morning Herald, 25 October 2003

(1) Californians have voted. Arnold Schwarzenegger has morphed yet again. From Austrian country bumpkin to champion body builder to actor to real-estate developer to governor of California.

(2) But there's no doubt about the consistency of his core persona. Arnold always speaks Arnold-speak. And, given that the 'Vote Arnold' campaign was predicated on the promise of certainty in uncertain times, then a resolute, unchanging persona no doubt serves him well.

(3) Arnold-speak has some defining features. One is the use of simple syntax – subject + verb + object – in one-clause sentences ('I love America'). This suits electioneering because it minimises the chance of interference.

(4) Second, there's the absence of modality – those devices in language that carry tentativeness or caution. Everything is an assertion. After all, this is Arnold of I'll-be-back fame. He didn't say he 'might' be back. No. It was certainty and commitment. Again, such language suits the discourse of political promise.

(5) Third is a landscape devoid of questions – the kind that might suggest humility, openness or simply curiosity. Not only has Arnold no questions, he seems to believe he has all the answers. On his website, we see: 'What is best in Life. Arnold has the answer. Ask Arnold.'

(6) For a taste of Arnold-speak, visit Schwarzenegger.com, a monument to his no-shades-of-grey universe. Whether you click on Actor, Athlete, Activist or something called Life, you are confronted with a stunning consistency of language and image.

(7) In Life, you're invited to bone up on Arnold trivia to impress your friends. In 'In his own words', we have: 'Arnold speaks! This is the place to hear it straight from the Oak himself. Hear what he has to say.'

(8) Hear his wife, Maria's, 10 reasons to vote for Arnold (he's clever, compassionate, motivated and so on). Listen to the lyrics of his rousing

campaign anthem: 'We're not gonna take it/ No we ain't gonna take it/ We're not gonna take it anymore/ We've got the right to choose/ And there ain't no way we'll lose it/ This is our life/ This is our song/ We'll fight the powers that be.'

(9) There's nothing on the website about groping or spanking women. Predictably, Arnold sailed above it all, responsive only to adulation.

(10) Underpinning Arnold-speak is the mantra: 'Look at me. I'm fantastic. Be like me. Be fantastic.' Arnold invited his viewer to coalesce into his voter. So positioned, the actor and the politician become the one Arnold. Neat. They voted. He won. Which reveals more about the constituency than the candidate. Only in America.

Appendix J

'The rising levels of debt that stop workers clocking off'

Sharon Beder, Sydney Morning Herald, 20 August 2003

> It is in everybody's interest to stop the trend towards longer working hours.
>
> Sharon Beder.

It is no coincidence that Australians work longer hours than people in most other OECD countries and at the same time our households have some of the highest levels of debt in the world. The two trends are intimately related.

In response to the ACTU's suggestion that the working week be limited to a maximum of 48 hours, the federal Tourism Minister, Joe Hockey, argued that people had a right to work as long as they liked. However, apart from the workaholics among us, most people work long hours because they have to, not because they want to.

As Tennessee Ernie Ford's song *Sixteen Tons* says: "You load sixteen tons, and what do you get?/ Another day older and deeper in debt/ St Peter, don't you call me, 'cause I can't go/ I owe my soul to the company store."

A relative decrease in wages and rising debt levels have been major causes of rising work hours. Not only do individuals have to work longer to maintain the same standard of living, but more members of the family have to work to maintain that standard. For families headed by less-educated workers, family income has dropped while workloads have increased.

Increasing debt levels are in turn caused by escalating house prices and rising levels of consumerism. The consumer goods necessary to attain a normal and respectable standard of living keep growing, along with the hours needed to earn an income to buy them. Those unable to

afford these goods, even though earlier generations happily did without them, feel that they are socially excluded and poor.

Nor should we ignore the fact that it suits employers to have their employees work long hours. Firms have their own debts, which can be paid back more quickly (and therefore more cheaply) if the equipment they borrowed the money to purchase is used around the clock.

Employers prefer to have fewer employees working longer hours because it is easier to find and train a smaller number of quality employees with suitable work experience.

Even if they have to pay overtime rates, it is more economical for employers to have fewer workers who work long hours than to hire extra employees because of the overheads involved including insurance, benefits, recruitment and training.

The advantage to employers of having employees who need to pay off debts from purchases already made is that those employees will be more willing to please and more willing to work long hours when asked.

Even when workers are not paid overtime, they will often work long hours because of job insecurity. Such workers are keen to please employers so they will be kept on, or, in the case of temporary or casual workers, given future assignments.

R. J. Kriegler noted in his essay on *Workers and Bosses:* "One cannot stress enough the indirect industrial control that an employer can have over a workforce that is deeply entrenched in time payments of one kind or another. Strikes, lay-offs, lockouts, or simple cuts in overtime loom as serious threats to the livelihoods of workmen's families and they are easily encouraged to join the ranks of the other hard-working, obedient and industrially docile instruments of production."

But it *is* not only the workers who find themselves compelled to work long hours. Management executives and professionals often work 70–80 hours a week with extra work in times of heavy demand. More than 80 per cent of professional scientists and engineers surveyed by the Association of Professional Engineers, Scientists and Managers of Australia said they regularly worked unpaid overtime.

In such situations those who refuse to work these hours will often be passed over when it comes to promotions because it is taken as an indicator of lack of commitment to the company.

Juliet Schor, the author of *The Overworked American,* noted: "For every aspiring manager determined to limit his or her hours, there are usually many more willing to give the company whatever time it demands." And such jobs often carry such high salaries, benefits and status that they are in demand, so employers have most of the bargaining power.

However, as the ACTU notes, such long hours come at a price. The cost is not only to the employees whose health, safety and welfare are compromised. Tired employees are not productive or innovative employees and they are prone to accidents.

More progressive employers recognise that requiring employees to work long hours costs them more in the long run.

The trend towards longer working hours, and the rising debt that encourages it, needs to be curtailed if we want to ensure the quality of Australian lives into the future.

> Professor Sharon Beder, from the University of Wollongong, is author of *Selling the Work Ethic: From Puritan Pulpit to Corporate PR,* Scribe, Melbourne, 2000.

Appendix K

'The Scope of Linguistics'

H. G. Widdowson

Experience and explanation

(1) Language is so intricately and intimately bound up with human life, and is so familiar an experience, that its essential nature is not easy to discern. If you are in the middle of the wood all you can see is the trees: if you want to see the wood, you have to get out of it.

(2) The purpose of linguistics is to explain language, and explanation depends on some dissociation from the immediacy of experience.

(3) There is nothing unusual about this of course. As we have seen, it is one of the critical design features of language itself that it is at a remove from the actual reality of things. Its signs are arbitrary, and can therefore provide for abstraction: they enable us to set up conceptual categories to define our own world. It is this which enables human beings to be proactive rather than reactive: language does not just reflect or record reality, but creates it. In this sense, it provides us with an explanation of experience. Of course, the languages of different communities will represent different variants of reality, so the explanation of experience is a matter of cultural custom and linguistic convention.

(4) But this very ability to abstract from the actual – in other words, this process of thinking which seems 'to distinguish humans and their language from the communication of other animals' – naturally sets limits on our apprehension of the external world. Our categories inevitably confine our understanding by defining it, and no matter how subtle they may be, they cannot capture everything. And they remain necessarily unstable.

(5) The abstracting, thinking process does not stop; we are forever calling our categories into question, adapting them to changing circumstances. We subject our reality to a continual process of conceptual realignment and look for alternative explanations. It is intrinsic to the

nature of language that it allows for this endless adjustable abstraction, and the emergence of different ways of accounting for things. It contains within itself the dynamic potential for change.

(6) The abstracting potential of language provides the means for intellectual enquiry, for the development of more formal explanation such as is practised in academic disciplines. We can think of such disciplines as cultures, ways of thinking and talking about things which are accepted as conventional within particular communities of scholars. As such; and as with any other culture, they draw abstractions from the actuality of experience. Linguistics is a discipline like any other. What is distinctive about it is that it uses the abstracting potential of language to categorize and explain language itself.

Extract from Chapter 2, 'The Scope of Linguistics', in Widdowson, H. G. *Linguistics.* Oxford University Press, 1996.

Answers to Exercises

Chapter 1

1a. Not all imperatives are used to give orders; e.g. *Have a nice time!* [a wish]; *Do have a second helping!* [an offer]. A more helpful definition of imperatives would note that they have distinctive formal features; e.g. they normally have no subject (*Get lost!* Rather than *You get lost!*), and the infinitival form of the verb (*Be on time!* Rather than **Are on time!* or **Is on time!*).

1b. (1) *friend, friends; leaving,* (2) *have, haven't, had, hadn't; been; good, better,* (3) *them; are, aren't, were, weren't,* (4) *encouraged; simple, simpler,* (5) *is, isn't, was, wasn't; being,* (6) *do, don't, did, didn't; team, teams*

1c. (1a) Yes, (1b) No, (1c) you + *'re lying down,* (2a) No, (2b) Yes, (2c) *makes + all sorts of noises + in the wind*

1d. (1a) Old men and old women may enter, (1b) Old men, and women of any age, may enter
(2a) It was to her brother that she sent it from Perth, (2b) It was to her brother from Perth that she sent it
(3a) The car salesman from Japan is here, (3b) The salesman of Japanese cars is here

1e.
$$[\; {}^{S}_{NP}({}^{H}_{N}People \; {}^{M}_{PP}({}^{Rel}_{Prep}from \; {}^{Ax}_{NP}({}^{Dr}_{Dv}the \; {}^{H}_{N}country))) \; {}^{Pred}_{PredP}({}^{P}_{VP}({}^{M}_{Aux}can \; {}^{H}_{Mv}become)$$
$$ {}^{PCs}_{AdjP}({}^{M}_{Adv}quite \; {}^{H}_{Adj}lonely)))]$$

1f.

```
                              Cl
          ┌───────────────────┴───────────────────────┐
        S:N                              Pred:PredP
     ┌────┴────┐          ┌──────────────┼────────────────────────┐
   Dr:Dv     H:N        P:VP          Oi:NP                    Od:NP
     │         │       ┌──┴───┐         │        ┌────────┬──────┬──────────┐
     │         │    M:Aux  H:Mv       H:Pn     Dr:Dv   M:Adj   H:N       M:PP
     │         │       │      │         │        │        │      │     ┌────┴────┐
     │         │       │      │         │        │        │      │  Rel:Prep  Ax:NP
     │         │       │      │         │        │        │      │     │    ┌───┴───┐
     │         │       │      │         │        │        │      │     │  Dr:Dv   H:N
   The     teacher   has   given      her      the    highest  mark   in   the   class
```
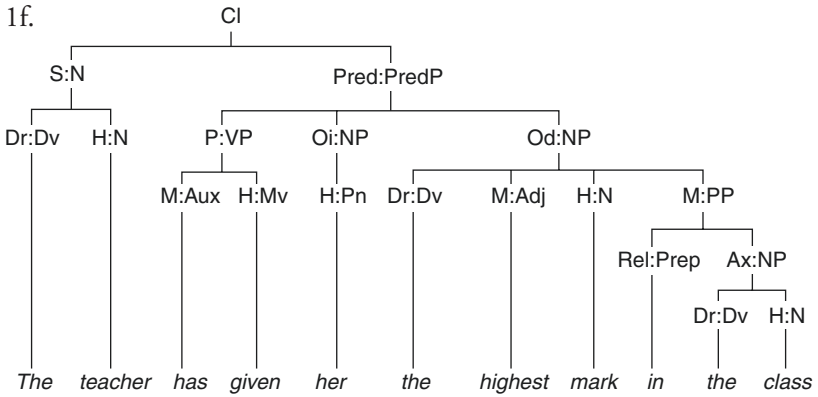
1g. (1) The subject and verb must agree in number (*none* is assumed to be singular – 'not one' – but *have* is plural). The rule overlooks the fact that noun phrases headed by pronouns such as *none*, *some* and *any* are felt by many speakers to be plural.

(2) Prepositions 'govern' the accusative case. (Thus, *between you and me.*) The prescriptive rule overlooks the fact that some speakers have a different rule when a preposition 'governs' a coordination of elements.

(3) Prescriptive grammar would require possessive *their* instead of *them* on the grounds that *being* has a noun-like function, cp. *their absence.* For most speakers *their* would be used only in formal style.

(4) The rule is that which forbids so-called 'split infinitives'. Unlike its Latin counterpart, however, *to ignore* is not a single word.

(5) The rule is that which forbids sentence-final prepositions. The rule is followed only in some formal varieties (*In which room were you hiding?*).

(6) Sentences with ellipsis are acceptable only if the omitted words can be restored exactly (*monitoring* cannot be inserted in the second clause: **than it has ever been monitoring before*). Most speakers ignore this rule when the correct missing form – here *monitored* – can be readily inferred.

(7) It is assumed that there is ellipsis here (of *is*), so the pronoun should be *he* and not *him* (see the rule for (6) above).

1h. Appendix F is an interview and is the most 'spoken' of all the texts, except for the announcer's preamble (see below). Appendix E is an extract from a newspaper article and has few features of a spoken

text. It has long and complex NPs and clauses and a high frequency of subordinated clauses. Appendices A and H are poems and it is not appropriate to consider them in this way. Appendices B, C and D are recipes and advertisements: B has a style of its own, being a recipe; while C and D contain a high degree of spoken features, The rest, while all overtly 'written', vary a great deal and all contain a high degree of both 'writerly' and 'spoken' language features. Examine particularly Appendices J and K, which while being academic articles, are written in a very accessible, 'spoken' style.

1i.   In Appendix F, the language of the announcer and interviewer is prepared ahead, and therefore exhibits full sentences, sentence initial subordinate clauses, and more formal vocabulary, such as *sought out*. There are, however, some features of informality there as well – contractions *you've, they've* and the informal use of *how you do rock*. The rest of the band's responses are spontaneous and unprepared. There are a lot of incomplete sentences and coordinations, hesitations, pauses, and a large number of place holders like *well/yeah*.

Chapter 2

2a.   (1) verb, adjective, (2) verb, adjective, (3) noun, verb, adjective, (4) verb, adverb, adjective, noun, (5) adjective, adverb, (6) adjective, adverb, (7) adverb, adjective, (8) adjective, adverb.

2b.   (1) *saucepan* N, *knife* N (e.g. *He has a knife*) or V (e.g. *He will knife you*), *bottle* N (e.g. *It's in the bottle*) or V (e.g. *Let's bottle them),* *toothpick* N, *pepper* N (e.g. *Pepper tastes hot*) or V (e.g. *She peppered the steaks), spoon* N (e.g. *Do you have a spoon?*) or V (e.g. *Spoon it into the bowl), father* N (e.g. *He's my father*) or V (e.g. *He fathered two children), son* N, *cousin* N, *mother* N (e.g. *She is our mother*) or V (e.g. *She mothers us), aunt* N.
(2) *even* Adj (e.g. *The surface is even*) or V (e.g. *She will even the score*), *slow* Adj (e.g. *Boats are very slow*) or V (e.g. *It slowed to a halt), straight* Adj, *narrow* Adj (e.g. *The road is narrow*) or V (e.g. *The road narrowed), high* Adj.
(3) *better* Adj (e.g. *Golf is a better game*) or Adv (e.g. *They played better today), yellow* Adj, *hardly* Adv, *well* Adj (e.g. *I am not feeling well*) or Adv (e.g. *She sings well), poorly* Adj (e.g. *She's feeling poorly today*) or Adv (e.g. *He performed poorly*).

2c. E.g. *When* (Subord) *in* (Prep) *Iraq* (N) *or* (Coord) *other* (Dv) *unstable* (Adj) *countries* (N), *tread* (V) *carefully* (Adv)

2d. *flooming* V (present participial *-ing* suffix; takes *were* as dependent; modified by adverb *dribly*), *dribly* Adv (adverbial suffix *-ly*; modifies verb phrase *were flooming*), *gridge* N (takes article *the* as dependent), *brod* N (takes article *the* as dependent), *plinged* V (past tense *-ed* suffix), *strun* N (takes article *a*; head of phrase functioning as subject), *vorled* V (past tense *-ed* suffix; takes object *them*), *breening* V (present participial *-ing* suffix; modified by adverb frowly), *frowly* Adv (adverbial suffix *-ly*; modifies verb *breening*), *mubbed* V (past tense *-ed* suffix; takes object *their niddish toks*), *niddish* Adj (adjectival suffix *-ish*; modifies noun *toks*), *toks* N (plural suffix *-s*; takes determinative *their* as dependent), *plodgers* N (plural suffix *-s*; takes article *the* as dependent), *pidulous* Adj (adjectival suffix *-ous*; 'describes' *plodgers*), *clandishly* Adv (adverbial suffix *-ly*; modifies verb *jipped*), *snitchful* Adj (adjectival suffix *-ful*; modifies noun *strun*), *strun* N (takes article *the* as dependent; modified by adjective *snitchful*)

2e. Open: *peach, will* (N)*, mine* (N/V)*, fine, hear, mist, undo, bath, green, inn*
Closed: *that*, *he*, *will* (auxiliary verb), *mine* (pronoun), *at*, *should*, *both*, *in*

2f. (1b), (2c), (3b), (4b), (5a)

2g. (1) A lady met him there, (2) But this has really turned out to be true, (3) Your academic skills can give you an edge too, (4) We're gonna take it

2h. (1a) O, (1b) PC, (2a) O, (2b) PC, (3a) PC, (3b) O

2i. (1) Finally (A) your Year 12 results (S) are (P) here (C)
(2) We (S) 're (P) a highly sexual band (PC)
(3) We (S) get (P) a really good reaction (O) from most of the crowds (A)
(4) After our feast (A) a short siesta (S) gave (P) us (O) the strength to tackle a gentle bushwalk (O)

2j. Auxiliaries *did, isn't, didn't* are used as heads of NPs with determinatives *his* and *their* modifying them. Auxiliaries are not

conventionally used in this position. The communicative effect that e. e. cummings may be trying to achieve is to make the reader focus on the behaviour thus described; because auxiliaries are empty of content, we are drawn to further speculate on the meaning of these phrases and to try to retrieve the possible meanings from earlier co-text.

2k. Appendix D is a conative text (see Section 10.2.1). The focus of a conative/persuasive text is on the addressee, traditionally expressed in grammar by the second person pronoun 'you' and the imperative mood. Some form of the pronoun 'you' appears in every paragraph of Appendix D except the second paragraph from the end. This ensures that the addressee constantly feels the pressure of having to respond to the demands of the message 'You've done your best, now do better.'

Chapter 3

3a. *Paxton* (proper) *Sydney* (proper) *newspaper* (common) *editors* (common) *their* (pronoun) *changes* (common) *arrival* (common) *summer* (common) *He* (pronoun) *he* (pronoun) *summer* (common) *he* (pronoun) *his* (pronoun) *shark* (common) *attack* (common) *article* (common)

3b. Open task.

3c. Open task.

3d. (1) M, M, (2) C, M, C, (3) C, (4) M

3e. hair: She has lots of hair (M) – She has a hair in her eye (C); glass: Glass was everywhere (M) – Wash your glass in hot water (C); lemonade: He prefers lemonade (M) – He would like a lemonade (C); paper: It was covered in paper (M) – She was reading the paper (C); weakness: He won't tolerate weakness (M) – She has developed a weakness in her wrist (C)

3f. (1) D, D, (2) I, D, (3) D, I, D, (4) D, D

3g. (1) e.g. all the shoes, (2) the three children, (3) all her many efforts

3h. (1) A: *a purveyor* (*of small goods*) (*from Turkey*) – it is the purveyor who is from Turkey; B: *a purveyor* (*of small goods* (*from Turkey*)) – it is the small goods that are from Turkey
(2) A: *the report* (*of the train disaster*) (*on Friday*) – it is the report that occurred on Friday; B: *the report* (*of the train disaster* (*on Friday*)) – it is the disaster that occurred on Friday
(3) A: *some photographs* (*of the girls*) (*on the sofa*) – it is the photographs that are on the sofa; B: *some photographs* (*of the girls* (*on the sofa*)) – it is the girls who are on the sofa

3i. (1) all those heavy girders, (2) feather dusters, (3) irresponsible children who play truant, (4) John's first drive in the car

3j. (1) Dr <u>Mike Grey</u>, arachnologist; <u>arachnologist</u>; the first <u>day</u> of summer; <u>summer</u>; the <u>arrival</u> of the first male funnel-web at his office, the first male <u>funnel-web</u>; his <u>office</u>;
(2) a steady <u>stream</u> of spiders, <u>spiders</u>; his <u>desk</u>; <u>many</u>; <u>members</u> of the public, the <u>public</u>; the <u>identity</u> of the spider found in their garden, the <u>spider</u> found in their garden, their <u>garden</u>
(3) male <u>funnel-webs</u>; <u>summer</u>; <u>search</u> of a mate, a <u>mate</u>; the normally reclusive <u>creatures</u>; <u>contact</u> with humanity, <u>humanity</u>
(4) <u>Grey</u>; the <u>way</u>; <u>me</u>; <u>he</u>; the school <u>holidays</u>; the vast <u>increase</u> of funnel-webs brought in by those enjoying the time outdoors, <u>funnel-webs</u> brought in by those enjoying the time outdoors, <u>those</u> enjoying the time outdoors, the <u>time</u> outdoors

3k. (1) $^{Dr}_{Dv}$(*the* $^{M}_{AdjP}$(*normally reclusive*) $^{H}_{N}$*creatures*)

(2) $^{Dr}_{Dv}$(*a* $^{M}_{AdjP}$*fatal* $^{H}_{N}$*loss* $^{C}_{PP}$(*of time*))

(3) $^{M}_{AdjP}$(*classical* $^{M}_{AdjP}$*string* $^{H}_{N}$*instruments*)

3l. Section 9.4 has a detailed discussion of this issue.

3m. Appendix E has a number of language features typical of journalese. Note, for example, the occurrence of so-called 'noun phrases in apposition' in order to identify the protagonists as they appear in the text: *Dr Mike Grey, arachnologist* and *Dr John Paxton, ichtyologist*. There are also many prepositional phrases embedded within NPs and it is occasionally difficult to tell where some of these belong. Examine, for instance, the first sentence. Does the PP 'at

his office' belong within the preceding NP, headed by 'arrival', or does it stand on its own. Journalists are constrained by the twin needs of packing as much information as they can into as short a space as possible. Subordinate prepositional phrases are often the way to achieve these.

Chapter 4

4a. *having* (Mv) *need* (Mv) *pay* (Mv) *made* (Mv) *is* (Mv) *will* (Aux) *be* (Mv) *please* (Mv) *work* (Mv) *asked* (Mv) *are* (Aux) *paid* (Mv) *will* (Aux) *work* (Mv) *are* (Mv) *please* (Mv) *will* (Aux) *be* (Aux) *kept* (Mv) *given* (Mv)

4b.

Vs	Vo	Ved	Vi	Ven	Ving
comes	*come*	*came*	*come*	*come*	*coming*
sings	*sing*	*sang*	*sing*	*sung*	*singing*
forbids	*forbid*	*forbade*	*forbid*	*forbidden*	*forbidding*
fights	*fight*	*fought*	*fight*	*fought*	*fighting*
lays	*lay*	*laid*	*lay*	*laid*	*laying*
puts	*put*	*put*	*put*	*put*	*putting*
buys	*buy*	*bought*	*buy*	*bought*	*buying*

4c. (1) Ved, (2) Ven, (3) Ven, (4) Ven, (5) Ven

4d. (1) Vi, (2) Vo, (3) Vi, (4) Vi, (5) Vo

4e. (1) *think* Vo, *are* Vo, *'ve* Vo, *been* Ven, *see* Vi
     (2) *'re* Vo, *formed* Ven, *discovered* Ved, *traded* Ved
     (3) *'ve* Vo, *played* Ven, *are* Vo, *releasing* Ving
     (4) *sought* Ved, *find* Vi, *do* Vo

4f.

Operator	Non-operator
We need not stay	*We don't need to stay*
Need we stay?	*Do we need to stay?*
He usedn't to like violent movies	*He didn't use to like violent movies*
Used he to like violent movies?	*Did he use to like violent movies?*
She dared not travel alone	*She didn't dare to travel alone*
Dared she travel alone?	*Did she dare to travel alone?*

4g. (1a) regular or habitual present activity, (1b) an activity in progress at the time of speaking
(2a) an event located in the past, (2b) an event that was in progress at a past point in time
(3a) a future event that is presently scheduled, (3b) an intended future event
(4a) an event that was in progress at a past point in time, (4b) an event located in the past

4h. (1a) an event located in the past, (1b) a recent event of current relevance
(2a) regular or habitual present activity, (2b) a recent event of current relevance
(3a) a situation in the past, (3b) a situation extending up to the present
(4a) a recent event of current relevance, (4b) an event located in the past

4i. (1) It is possible that Mary will visit him after lunch ~ Mary has permission to visit him after lunch
(2) It can be inferred that he has regular treatment ~ It is required that he have regular treatment
(3) It can be predicted that they will contact us soon ~ They have an obligation to contact us soon

4j. Open task.

4k. It is most important to note that the three parts of Appendix G use verbs in different ways. Part A, the poem Mapooram, has many features of audience involvement. In conjunction with the use of the pronoun 'you' as sentence subject, the verbs are mainly in the simple present tense. There are two instances of an imperative, 'go out and camp', and one interrogative, 'What's that?'. The effect here is of a casual conversation with Fred Briggs. In part B, a recount of a fairy tale, the verbs are almost entirely in the past tense, in keeping with typical narrative style. The main body of the essay, part C, uses a variety of verb phrases, longer and more complex and accompanied by modifying adverbs – a number of passive verb phrases, several in perfect aspect, several present progressive. However, note that many of the verbs are still in the simple present – but

this denotes here present or habitual situations and timeless truths rather than patterns of casual conversation.

4l.   Open task. Chapter 6 has a lot of detail for this task.

Chapter 5

5a.   It is a musical instrument vs. She comes from a musical family; Here is the foreign embassy vs. Such an idea is foreign to me; They mine magnetic ore vs. She has a magnetic personality; He likes abstract painting vs. He developed an abstract argument; Add up all the odd numbers vs. He has an odd expression on his face; It was a moral tale vs. Her behaviour was not very moral

5b.   Gradable: overweight, sweet, mature, positive

5c.   (1) Adj: predicative complement function; could substitute an adjective such as *healthy*
(2) Adv: adjunct function; could substitute an adverb such as *soundly*
(3) Adv: modifier function; could substitute an adverb such as *impeccably*
(4) Adj: predicative complement function; could substitute an adjective such as *loose*

5d.   (1) Eventually, nearby, (2) separately, (3) well, (4) quickly

5e.   Open task.

5f.   (1) *of* (Prep), *as* (Subord); (2) *although* (Subord), *on* (Prep); (3) *if* (Subord); (4) *that* (Subord), *when* (Subord)

5g.   (1) In addition, fast, (2) In all honesty, regularly, (3) At no time, to that place

5h.   (1a) verb, (1b) preposition, (2a) preposition, (2b) verb

5i.   (1) of summer; from the arrival of the first funnel-web at his office, of the first funnel-web, at his office

(2) of spiders; by members of the public curious about the identity of the spider found in their garden; of the public curious about the identity of the spider found in their garden, about the identity of the spider found in their garden, of the spider found in their garden, in their garden

(3) in search of a mate, of a mate, into contact with humanity, with humanity

(4) by the way, by the vast increase in funnel-webs brought by those enjoying their time outdoors, in funnel-webs brought in by those enjoying their time outdoors, by those enjoying their time outdoors

5j. The difference between *between* and *among* does not concern the size of the set referred to but rather how the members of the set are conceptualised; individually – and typically as adjacent pairs – in the case of *between* and collectively in the case of *among*.

Chapter 6

6a. (1) Ditransitive: 'She found a reliable guide for him'. Complex transitive: 'She considered him to be a reliable guide'.
(2) Ditransitive: 'They will call a doctor for her'. Complex transitive: 'They will apply the title "doctor" to her'.
(3) Ditransitive: 'They made a model soldier for him'. Complex transitive: 'They turned him into a model soldier'.

6b. *He brought some beer* (monotransitive), *He brought us happiness* (ditransitive); *They elected a treasurer* (monotransitive), *He elected himself treasurer* (complex-transitive), *They elected themselves a treasurer* (ditransitive); *She seems upset* (copulative); *He told a rude joke* (monotransitive), *He told us a rude joke* (ditransitive); *They drink regularly* (intransitive), *They drink beer* (monotransitive), *They drank themselves senseless* (complex-transitive), *They drank us a toast* (ditransitive); *He died* (intransitive), *He died a poor man* (copulative), *He died a painful death* (monotransitive)

6c. Section 9.4 has a detailed examination of the transitivity patterns in this text.

6d. (1) *We* (S) *occasionally* (A) *treated* (P) *them* (Od) *as friends* (Cx)
(2) *They* (S) *sold* (P) *him* (Oi) *a house* (Od) *yesterday* (A) *for one
million dollars* (A)
(3) *He* (S) *makes* (P) *me* (Od) *angry* (PCo)
(4) *She* (S) *accused* (P) *them* (Od) *of neglect* (Cx)
(5) *Henry* (S) *seemed* (P) *quite depressed* (PCs) *last week* (A)
(6) *I* (S) *told* (P) *my friends* (Oi) *that it was unfair* (Od)
(7) *You* (S) *should take* (P) *on* (Cx) *some more work* (Od)
(8) *I* (S) *wanted* (P) *to leave* (Cx)

6e. (1a) exclam, (1b) interrog, (2a) interrog, (2b) imper, (3a) decl,
(3b) imper

6f. (1) phrasal, (2) prepositional, (3) phrasal, (4) phrasal, (5) preposi-
tional, (6) phrasal, (7) phrasal, (8) prepositional

6g. (1) Who can help us? (2) Where did Phillip go to college? (3)
What did he say was worrying him? (4) When does the train leave?
(5) Which bus is he waiting for? (or For which bus is he waiting?)

6h. (1) 'What type of terrible music is played there?' ~ 'How terrible
the music is that is played there!'
(2) 'How often is it that I have told you to behave yourself?' ~ 'How
often I have told you to behave yourself!'

6i. Appendix B: 1. *melt the butter* … imperative, *stir* … imperative, *is
dissolved* … declarative
2. *increase heat* … imperative, *stir in* … imperative
3. *when … reaches* declarative*, stir in* … *cover* … *cook* … *stir* … all
imperative, *is absorbed* … *is* both declarative
4. *Spoon* … *sprinkle* imperative
Appendix D: Almost all the clauses are in the declarative mood,
with the exception of the following: imperative (*do your best, just
call* …), interrogative (*So, how did you go?, But how do you know* …)
Appendix E: All declarative
Summary – very predictable results? The recipe is an instructional
genre that typically uses the imperative mood. The recruitment
advertisement needs to engage with its audience and is persuasive in
aim; therefore it uses a variety of moods, with the interactive impera-
tive and interrogative very common. 'Creature Features' merely pre-
sents information and does not attempt to engage with its readership.

6j. (1) subclausal, (2) clausal, (3) subclausal, (4) clausal, (5) clausal, (6) clausal, (7) clausal, (8) clausal

Chapter 7

7a. (1) (i) it was appropriate (ii) NCl (iii) O, (2) (i) because we get into the music (ii) ACl (iii) A, (3) (i) as they used to (ii) CCl (iii) M, (4) (i) they were doing early on in the piece (ii) RCl (iii) M, (5) (i) if they will offer her the job (ii) NCl (iii) O, (6) (i) that's increasingly reaching back to paganism (ii) RCl (iii) M, (7) (i) if you're looking for a better tertiary qualification (ii) ACl (iii) A

7b. (1) Restrictive: 'We have spoken to those particular neighbours who saw the incident'. Non-restrictive: 'We have spoken to the neighbours; they saw the incident'.
(2) Restrictive: 'The car which he was driving was one which I hadn't seen before'. Non-restrictive: 'He was driving a car; I hadn't seen him driving a car before'.

7c. (1) Cling/Clause/O, (2) Cli/Clause/Cx, (3) Clen/Clause/PD, (4) Cling/Clause/A, (5) Cli/NP/M, (6) Clen/NP/M, (7) Cli/AdjP/C, (8) Cling/PP/Axis, (9) Cli/Clause/Cx

7d. (1) 'What he forgot was the time he spent in prison': *when he was in prison* is a postmodifier of *time*; 'When he was in prison he forgot the time': *when he was in prison* is an adjunct.
(2) 'The note was written before they suspected me': *before they suspected me* is an adjunct in the clause *that I had written the note before they suspected me*; 'Before they suspected me I revealed that I had written the note': *before they suspected me* functions as adjunct in the main clause.
(3) 'He admits to his open defaming of them': *openly* is an adjunct in the Cling; 'He openly admits to defaming them': *openly* is an adjunct in the main clause.
(4) 'He was unwise to speak in an honest fashion': *honestly* is an adjunct in the Cli; 'Honestly, he was unwise to speak': *honestly* is an adjunct in the main clause.
(5) 'It was last week that he saw them': *last week* is an adjunct in the *that*-clause; 'Last week he said that he saw them': *last week* is an adjunct in the main clause.

7e. declarative: –
     interrogative: *We wondered when it would end*
     exclamative: –

     declarative: *He promised that he would be there*
     interrogative: –
     exclamative: –

     declarative: *She asked that she be permitted to join*
     interrogative: *She asked whether it was possible*
     exclamative: –

     declarative: *I assume that you approve*
     interrogative: –
     exclamative: –

     declarative: *We doubt that the concert will go ahead*
     interrogative: *We doubt whether the concert will go ahead*
     exclamative: –

     declarative: *She forgot that it was late*
     interrogative: *She forgot whether she'd ordered a taxi*
     exclamative: *She forgot what a good concert it was*

7f. (1) *He was driving at great speed and very carelessly*, (2) *It's an attractive apartment but quite inexpensive*, (3) *She likes fast cars and living dangerously*, (4) *He is either on drugs or intoxicated*

7g. 1. (a) *Tom and Jerry have escaped*, (b) *They escaped and disappeared*, (c) *They gave the police and the press a false lead*, (d) *We found them trapped but unhurt*
     2. (a) *two or three apples*, (b) *a red and white flag*, (c) *thunder and lightning*, (d) *protesters holding placards and shouting loudly*
     3. (a) *completely and utterly exhausted*, (b) *tall or short*, (c) *too old for late nights and for wild parties*, (d) *fond of Bill and of his friends*

7h. (1) *<Women and men over thirty> are welcome:* 'Women of any age, and men over thirty'; *<Women and men> over thirty are welcome:* 'Women over thirty and men over thirty'.
     (2) *Alsatians can be <extremely aggressive and temperamental>*: 'extremely aggressive, and temperamental (to any degree)'; *Alsatians can be extremely <aggressive and temperamental>*: 'extremely aggressive and extremely temperamental'.

(3) *<Mary and <Bill or Peter>> made this mess*: 'Mary, and either Bill or Peter'; *<<Mary and Bill> or Peter> made this mess*: 'Both Mary and Bill, or Peter'
(4) *Tom plays <indoor cricket and football>*: 'indoor cricket, and football'; *Tom plays indoor <cricket and football>*: 'indoor cricket and indoor football'.

7i. Open task.

7j. Widdowson uses both coordination and subordination – there is one instance of coordination and three of subordination in the first four lines of the text. However, on careful consideration, we will find a great deal more subordination, and a generally wide variety of different sentence types – cleft and pseudo-cleft, extraposition, passive constructions and non-finites. This text is most distinguished by the wide variety of sentence patterns it uses.

7k. Sentences beginning with a coordinator *And* often have the effect of an afterthought, bringing the speaker and the addressee into a more casual relationship. They are more typical in casual speech, as in Appendix C, *And more than once.* However, another, perhaps more important effect is that by removing the second sentence from its original coordination, we are encouraged to focus on it more strongly – we now have two points of focal interest, one at the end of each separate sentence, and the pause between the sentences forces us to retrieve the information from the first sentence before reading the second one. Consider, for instance, the use of this in Appendix K, the last sentence in the fourth paragraph, *And they remain necessarily unstable.* In a rather formal piece of writing such as this, such a usage creates a much stronger contrast between the two thoughts – *they cannot capture everything. And they remain necessarily unstable.*

Chapter 8

8a. (1) No (*a major literary figure* = predicative complement, not object), (2) *The troops were ordered by Colonel Carruthers to advance*, (3) No (*last week* = adjunct, not object), (4) *That language is a sign system was established by Saussure*, (5) *We were instructed by our supervisor to begin working*, (6) No (*a pauper* = predicative complement, not object), (7) *John is known by us to be a fraud*

8b. (1) The identity of the assassin is probably unknown, (2) The agent is recoverable from the previous clause, (3) The agent is inferrable (wind, storm, etc.), (4) The agent is probably identifiable in small print on the sign!

8c. (1) *There is someone absent*, (2) No, (3) No, (4) *There was no one hurt in the accident*, (5) No, (6) *There appeared a mysterious figure*

8d. (1) *It was the swimmers who were attacked by a large shark near the pier; It was a large shark that attacked the swimmers near the pier; It was near the pier that the swimmers were attacked by a large shark*

(2) *It was a detailed report that he gave to the police after the accident; It was he who gave a detailed report to the police after the accident; It was to the police that he gave a detailed report after the accident; It was after the accident that he gave a detailed report to the police*

8e. (1) Cleft (*Margaret did it*), (2) Extraposition (*How cold it was was surprising*), (3) Right-dislocation (*The way he behaved was very strange*), (4) None, (5) Extraposition (*Who was to peel the potatoes was undecided*), (6) None, (7) Cleft (*We set out on a cold morning in June*), (8) None, (9) Right dislocation (*The car she was driving was a Honda*)

8f. (1) passive, (2) cleft, (3) extraposition, (4) existential, (5) existential, (6) passive, (7) extraposition. The discussion is an open task.

8g. Open task.

Glossary

Absolute One of the three degrees of comparison, contrasting with **comparative** and **superlative** (e.g. *large* vs. *larger/largest*).

Accusative case Personal pronouns functioning as **object** are typically in the accusative case (e.g. *She helped **her***).

Active voice Contrasting with **passive**, applies both to clauses and VPs (e.g. *Mary scolded the kitten* is active, vs. the passive *The kitten was scolded by Mary*; *scolded* is active while *was scolded* is passive).

Adjective (Adj) A part of speech that functions as head of an **adjective phrase,** is typically gradable and denotes a property (e.g. *tall, selfish, dry*).

Adjective phrase (AdjP) A phrase headed by an **adjective,** which has modifier and complement as possible dependents (e.g. *small, very small, smaller than a mouse*).

Adjunct (A) An element of the **clause**, which, unlike **subject**, **predicator**, **object** and **predicative complement**, is readily omissible. Adjuncts characteristically express 'circumstantial' meanings such as time, place and manner (e.g. *when it rains in Liverpool, happily*).

Adverb (Adv) A part of speech that functions as head of an **adverb phrase** and may modify a verb, adjective or another adverb. Adverbs are often derived from adjectives via suffixation with *-ly* (e.g. *cleverly, rarely*); 'non *-ly*' adverbs include *here* and *away*.

Adverbial clause (ACl) A type of **subordinate clause** introduced by a subordinator such as *because, although, until* or *when*, and functioning as an **adjunct**.

Adverb phrase (AdvP) A phrase headed by an **adverb** as head word, which has modifier and complement as possible dependents (e.g. *foolishly, so foolishly, as foolishly as the others*).

Affixation The addition of *prefixes* to the stem of a word.

Agreement The correspondence, in terms of grammatical features such as **person** and **number**, between the verb and the subject (compare *She jogs* and *They jog*).

Anaphora The relationship between one item, usually a **pronoun**, and its antecedent – an expression that facilitates identification of the pronoun-referent (e.g. *If **your brother** accepts the offer, **he** will regret it*).

Antonymy A semantic relationship between words whose meanings in some way oppose each other. Three different types of antonyms are identified; gradable – *big/small*, relational or converse – *parent/child* and complementary – *awake/asleep*.

Article There are two articles, definite *the* and indefinite *a/an.* They belong to the class of **determinatives**.

Aspect The **perfect** aspect (e.g. *She has read the paper*) and **progressive** aspect (e.g. *She is reading the paper*) are categories of the **verb phrase** used to express types of temporal meaning.

Asyndetic coordination Coordination with no coordinator(s) present, as between the first two coordinated elements in *He ran up the hill, across the park, and into the hospital.*

Attributive An attributive **adjective** (or adjective phrase) functions as modifier in a **noun phrase** (e.g. *a **naughty** boy*, ***noisy** seagulls*). Also applied to a predicative complement that ascribes an attribute (e.g. *Mrs Williams is **elderly/a grandmother**).*

Auxiliary verb (Aux) *Be*, *have*, *do* and the modals function as dependents of the main **verb** in a **verb phrase**. They express **tense**, **modality**, **aspect** and **voice**.

Back-channelling A term used in conversational analysis; any comment from a listener while the speaker's turn is in progress. This provides feedback to the speaker (e.g. *yeah*, *indeed*, *uh-huh*).

Basic clause A structurally elementary, descriptively straightforward clause that wecan use as a type of benchmark for describing the diversity of clause types.

Case The system of inflections applied to nouns (**genitive**: e.g. *uncle's*), and to pronouns (**nominative**, **accusative** and **genitive**: e.g. *he*, *him*, *his*).

Cataphora The opposite relationship to the more common **anaphora**; in cataphoric reference, the **pronoun** precedes its reference in the text, as in *In a version from the Austrian Tyrol, it runs like this* [G].

Catenative verb A class of **verbs** that have the capacity to 'chain' together, such as *try*, *get* and *keep* in *Tom tried to get me to keep studying.*

Central determiner A **determiner** that may be preceded by a **predeterminer** and/or followed by a **postdeterminer**.

Clausal negation Applies to a clause that is syntactically negative, as opposed to subclausal negation (where the clause itself is syntactically positive, and yet contains a negative element within its structure).

Clause A grammatical unit whose main structural patterns involve combinations of the functions **subject**, **predicator**, **object**, **predicative complement** and **adjunct**. The immediate constituents of a clause are normally **phrases**. A clause may form a whole **sentence** (*e.g. Jill has a car*) or just a part of a sentence (e.g. ***Jill has a car** but she prefers to walk*).

Cleft sentence A construction in which a basic **clause** is 'cleaved' into two parts: a **main clause** with *it* as subject, and a **subordinate clause** that is similar to a **restrictive relative clause**.

Clitic Reduced form of a word attached to another word (e.g. *she**'ll***).

Closed class A word class with a fixed membership: **pronoun**, **preposition**, **coordinator**, **subordinator**, **auxiliary verb** etc.

Closed interrogative An **interrogative** that is typically used to ask a question for which there is a closed set of answers (e.g. *Were you born in Australia? Yes/ No.*), and involves inversion of the subject and operator.

Code-switching In many countries, it is customary for people to switch from one language or dialect to another depending on the special circumstances of the situation, such as the setting, the subject of the conversation and speakers' roles with respect to each other (e.g. in Singapore many speakers use Malay in everyday transactions, Chinese or Tamil at home, and English as the medium of education and in professional contacts).

Coherence If a text, spoken or written, appears to 'hang together' rather than being a random collection of sentences, it is said to have coherence. Such a text would make sense because it would appear logical and consistent in its development and structure, and would not contradict any of our presuppositions and knowledge about our world.

Cohesion The text-internal organisation of a **text**: the links and bonds established on the surface level of a text by the use of pronouns, coordinators and subordinators, and lexical patterning, which all combine to give it a sense of connectedness (e.g. ***John*** stayed at home ***because he*** felt ill. ***Consequently he …***). It is usual to distinguish cohesion from its text-external counterpart, **coherence**.

Collective noun A type of noun referring to a collection of entities (e.g. *herd*, *crew*, *crowd*). A singular collective noun may be used with either a singular or plural verb (e.g. *The crowd was/were pushing forward*).

Collocation A habitual association between particular words in a language (e.g. *blond* goes with *hair*, *butter* is *rancid* not *rotten*, the *mind boggles*). **Phrasal verbs** are characterised by collocation (e.g. *put **up** a fight, put **in** an effort, put **off** making a decision*). Collocation differs from 'idiom', where the literal meaning is not possible to deduce from the total construction (e.g. *a red herring*).

Common noun The main subclass of nouns, contrasting with **proper nouns** and **pronouns** (e.g. *woman* vs. *Evelyn* vs. *she*).

Comparative One of the 'degrees' of comparison for adjectives and adverbs (vs. **absolute** and **superlative**). Indicated by the suffix *-er* (e.g. *smarter*, *faster*) or by the adverb *more* (e.g. *more heroic*, *more sheepishly*).

Comparative clause (CCl) A type of **subordinate clause** introduced by *than* or *as.*

Complement (C) Applied as a general term to elements in the clause that – by contrast with adjuncts – are normally not omissible and are 'controlled' by the verb (objects, predicative complements and various non-central varieties for which we have used the symbol Cx). Also labelled as 'complements' are dependents in noun phrases, adjective phrases and adverb phrases, which – by contrast with modifiers – are 'controlled' by the head word.

Complex sentence Has one or more subordinate clauses embedded within its structure (e.g. ***When pruning roses*** be careful, ***because their thorns are very sharp***).

Complex-transitive clause A clause containing an object and an objective predicative complement. Also applied to the verb used in such a clause (e.g. *She found him annoying*).

Compounding The adding together of word stems.

Compound sentence Has two or more main clauses (e.g. **Wear some warm clothes** *or* **you will freeze**).

Constituent A grammatical unit that is part of a larger unit.

Construction A grammatical unit that is made up of one or more constituent units.

Conversion The change of a word from one part of speech to another.

Coordination The relationship between grammatical units of equal rank: clauses (e.g. *He huffed* **and** *he puffed*), phrases (e.g. *a knife* **or** *a fork*), and words (e.g. *old* **but** *solid*). Contrasts with subordination, the relationship between grammatical units of unequal rank.

Coordinator (Coord) A word (e.g. *and*, *or*, *but*) or a pair of words (e.g. *either … or*) that link coordinated elements.

Copula A 'linking' verb taking a **predicative complement** (e.g. *be*, *seem*). A copulative clause is one that contains such a verb.

Coreference The relationship between grammatical units that have the same reference (e.g. a pronoun may refer to an identical referent in an earlier or later part of the text, as in **John** *is tired, because* **he** *had a late night; Let me tell you* **this, I had a great time last night**). See also **anaphora**.

Co-text The relevant linguistic environment of which a given item is a part; co-text can be contrasted with 'context' – the entire non-linguistic background and cultural expectations associated with the meaning of a specific **text**.

Dative movement The process that converts a PP-axis into an indirect object, as in: *Penny sold the refrigerator to him* → *Penny sold him the refrigerator*.

Declarative mood The 'unmarked' mood, as opposed to the **interrogative**, **imperative** and **exclamative** moods. Applied to a type of clause typically used to make a statement.

Definiteness A category of the NP most commonly associated with definite and indefinite **articles**.

Deictic See **deixis**.

Deixis The relationship between a (deictic) linguistic item and an extralinguistic entity (e.g. in *I don't like it*, *I* is related by deixis to the speaker, and *it* to something disliked by the speaker).

Demonstrative pronouns *This*, *these*, *that*, *those*.

Descriptive The view that the role of grammar is to describe how language *is* used rather than prescribing how it *should* be used.

Determinative (Dv) Part of speech with the function of **determiner** in noun phrase structure (e.g. *a*, *the*, *that*, *both*, *three*).

Determiner (Dr) A pre-head dependent in a noun phrase may be either a determiner or a modifier (e.g. in *the tallest building*, *the* functions as a determiner and *tallest* as a modifier).

Dialect A variety of a language defined according to the characteristics of the 'user', specifically associated with regional speech, but also with social class, gender and age. Dialects are most easily recognised by a distinctive pronunciation (or accent), but typically also have a distinctive vocabulary and grammar. Dialects are regarded as socially less 'proper' and prestigious than the **standard**, itself originally a regional dialect.

Diglossia In sociolinguistics, a term referring to a situation where two different varieties of a language are used in a speech community, each for a distinct set of social functions. The two varieties are classified as high (H) and low (L). The H variety, generally a standard dialect, is selected for more formal uses (e.g. education, literature, church, and broadcast media) and has greater prestige; the L variety, usually a vernacular, is used in private, more informal settings. Latin was the H variety throughout the early Christian world. English often plays that part in the former colonies of the nineteenth-century British Empire.

Direct object (Od) A type of clausal complement found in transitive clauses and representing the 'goal' or 'patient' (e.g. *Ted sold **his unit**; Ted sold us **his unit***).

Discourse A term used in linguistics to refer to any stretch of language larger than a sentence, whether spoken or written, and having a logically consistent and unified structure (e.g. this book, this glossary entry, a lecture or a speech). The term is often used as an equivalent of **text**.

Discourse marker A lexical item whose function is to mark off sections of discourse rather than individual sentences or clauses (e.g. *well, now* tend to introduce new or contrasting material). Diverse items such *as firstly, finally, however* are sometimes included in this category, as are miscellaneous items designed to involve the listener (e.g. *you know, I mean*).

Ditransitive clause Has two **objects** (e.g. *They sent me a final reminder*). May also be applied to the verb in such a clause.

Ellipsis In grammar, the omission of one or more elements of a sentence or a phrase, where these can be recovered from either the immediate context or the surrounding text, or on the basis of our knowledge of the grammar of English. Ellipsis provides a strong cohesive force in a text and is also commonly used in conversation for speed of response and economy of effort.

End-focus The tendency for 'focal' constituents to appear towards the end of the clause.

End-weight The tendency for long and complex constituents to occur at or towards the end of the sentence.

Endocentric Constructions such as noun phrase and verb phrase that have a head-dependent structure. Contrasts with **exocentric**.

Exclamative The mood of a clause that is introduced by *what* or *how*, and characteristically makes an exclamation (e.g. *What an impressive debater she was!*; *How impressive she was!*).

Existential sentence A construction with dummy *there* as subject and material moved to a later position (e.g. *There's someone at the door*).

Exocentric See **relator-axis construction**.

Extraposition The movement of a subordinate clause to the right of the predicate and insertion of the dummy pronoun *it* in the position vacated by the clause (e.g. *It is amazing that he escaped without injury*).

Field One of the three dimensions of **register**, defined in terms of the topic or subject matter of the **text**, what it is 'about'.

Filler Various hesitation forms such as *um* and *er*, which produce a 'filled', non-silent pause.

Finite clause Contrasting with **non-finite**, a clause with a tensed verb (e.g. *He has been nominated*), an imperative clause (e.g. *Get nominated*), or a 'subjunctive' clause, as in *They demanded **that he be nominated***).

Flesch Reading Ease Score Associated with the Plain English movement. The score is calculated by a formula based on the number of words in a sentence and the number of syllables in each word. The easiest sentence scores 100, with average number of mostly two-syllable words and 12 words per sentence. Plain English score is 65, with 15–20 words per sentence. The later, revised Flesch–Kincaid reading test is associated with school grades, 10–12 being equivalent to reading ability at the end of secondary school.

Fog Index The Gunning Fog Index Readability Formula measures readability of texts in terms of how many years of secondary education are required to understand the text on first reading. As with the Flesch index above, the number of words in a sentence and the length of the words (three syllables and above) are taken into account.

Free relative clause A **relative clause** that occurs 'freely' rather than being integrated into the structure of an NP, as in *I know **what you need.***

Functions of language The six functions of language defined by Roman Jakobson are as follows: expressive/emotive (expressing the speakers' feelings); conative (used to influence the addressee); referential (used to convey information about the rest of the world); poetic (focusing on the form of the message); metalingual (using language to explain itself); and phatic (the use of language primarily for social contact rather than exchange of information or expression of feelings).

Gender The distinction, applied to singular **personal pronouns**, between 'masculine' (*he*, *him*, *his*), 'feminine' (*she*, *her*, *hers*) and 'neuter' (*it*, *its*).

Genitive case A noun inflection characteristically used to indicate possession, as in *my wife's jewellery*.

Genre Classical Greek theory divided literary works into three distinct genres or types: epic, poetic and dramatic. These three were thought to be archetypal, natural and fixed. In the twenty-first century, genre is regarded as a set of conventions that identify the shared expectations of writer and reader, and which change from culture to culture and from one period to another.

The term is now applied much more broadly to any structured, purposeful and culturally identifiable language activity (e.g. interviews, buying and selling exchanges, cooking recipes).

Gerund A Ving form that is like a verb in its form but like a noun in its function (e.g. ***Crying*** *won't help*).

Gobbledegook A pejorative term for the wordy, pretentious and confusing use of language, especially as used in much bureaucratic and official writing. The term is particularly associated with the Plain English Movement's campaign to simplify the language of legal, government, business and technical documents, making these more accessible to members of the ordinary public.

Gradability The capacity – associated with most **adjectives** and **adverbs** – of being able to denote properties that can be present in varying degrees (e.g. very/rather/extremely *strong*).

Head (H) The central word in a **phrase**, which determines its classification (nouns head noun phrases, verbs head verb phrases, etc.), and which may be accompanied by one or more dependents (e.g. *a **sight** to see*; *was **writing***; *very **honest***).

Hedge Any words that allow a speaker or writer to soften the impact of what is being communicated, to prevent it from appearing too arrogant or too assertive. Hedge words have a similar effect to that of some modal auxiliaries (such as *may, could*). In academic and other formal texts, common hedges are *almost*, *somewhat*, *hardly*; in everyday speech: *a bit*, *just*, *practically*. These are sometimes called 'downtoners', contrasting with 'intensifiers' such as *utterly*, *awfully* and *bloody*.

Hyponymy A sense relation of inclusion. A superordinate term with a more general meaning is called a 'hypernym' (e.g. *furniture*), which can be said to include a number of hyponyms, or more specific terms (e.g. *table*, *chair*, *bureau*). These subordinate terms are then called 'co-hyponyms', *of furniture*.

Identifying A predicative complement that identifies the referent as the one matching a particular description (e.g. *Mrs Williams is **the culprit**).

Idiolect A 'personal dialect'; the speech habits peculiar to a particular individual.

Immediate constituent The immediate constituents of a construction are those that are directly below it in the hierarchy.

Imperative The mood of a clause with the infinitival form of the verb, typical omission of the subject *you,* and characteristically used to issue a directive or make a request (e.g. *Watch your step!*; *Don't be untidy!*).

Indefinite pronouns Pronouns with indefinite reference (*some*, *none*, etc.).

Indicative mood The mood that is associated with the communication of information and subsumes the **declarative**, **interrogative** and **exclamative** moods.

Indirect object (Oi) An object that normally precedes the direct object in a **ditransitive** clause, which generally represents the 'recipient', and which

can usually be paraphrased with a to-phrase or for-phrase (e.g. *He sent **her** a red rose*; compare *He sent a red rose to **her***).

Infinitive (Vi) One of the three non-tensed forms of the **verb**, the infinitive is used in imperatives (e.g. ***Be careful!***) and after modals (e.g. *You should **be** more careful*). An infinitival clause is one with the infinitive as **predicator** (e.g. *They need **to be more careful***).

Inflection Morphological variation of a word to express such grammatical distinctions as **number** (e.g. *fence/fences*) and **tense** (e.g. *decide – decided*).

Inflectional morphology The branch of morphology that studies the inflectional forms of words.

Interrogative A type of clause characteristically used to ask a question. There are two subtypes: **closed interrogatives** and **open interrogatives**.

Interrogative pronouns Pronouns used in interrogative clauses (*who*, *what*, etc.).

Interrogative tag An elliptical closed interrogative clause consisting of an operator verb and the subject (always in the form of a personal pronoun), as in *John found it in the garden, **didn't he**?*

Intransitive A clause lacking a complement (object, predicative complement etc.). Also applied to the verb used in such a clause (e.g. *Kim has fainted*).

Jargon The technical vocabulary of a specialist group (e.g. legal jargon, computer jargon). The term is often used pejoratively because, if used unthinkingly outside its relevant area, or used deliberately to impress or confuse, jargon is, like slang, a powerful instrument for the exclusion of outsiders.

Labelled bracketing A method for representing syntactic structure using brackets along with labels for syntactic classes and functions.

Lexemes Abstract units that correspond in form to the most morphologically unmarked forms, the base forms of words (e.g. in the case of verbs, the infinitive form).

Lexical density The lexical density of a text is the proportion of open class words that the text contains. Tests such as the **Fog Index** and the **Flesch Reading Ease Score** calculate the text's comprehension difficulty.

Lexical morphology The branch of morphology that studies the processes by which lexical items are derived.

Lexical set A group of words whose meanings are related; for example, kinship terms, colour words, names for parts of the body.

Lexis A term used in linguistics for the vocabulary of a language or a language variety.

Locative inversion The process that moves a locative expression to the front of the clause, and the subject to post-verbal position (e.g. *On top of the wardrobe was a an old trunk*).

Main clause (MCl) A clause that is not subordinate. *We understand* is a main clause (and simple sentence), *We understand that they may not be agreeable* is

a main clause (and a complex sentence), but *that they may not be agreeable* is not a main clause.

Main verb (Mv) The head word in a verb phrase: dependents are auxiliaries (e.g. *throws*; *was **throwing***; *had been **thrown***).

Mass noun The non-countable use of a common noun to refer to a substance or quantity. Contrasts with the 'count' use.

Metonymy A sense relation based on association (e.g. in journalistic writing *the bar* stands for the legal profession, *the press* for the reporters and others involved in the media, and *10 Downing St*, *Canberra* and *the White House* all stand for governments, as in *Canberra announced today …*).

Minor sentences Units of language punctuated as sentences but lacking some of the properties associated with prototypical 'major' sentences. Minor sentences tend to be formulaic (e.g. *Hello*, *Happy Birthday*), or elliptical (i.e., sentence fragments, such as *See you soon*; *My turn?*; *Back Monday*). The use of minor sentences is motivated by the desire to conserve time, effort (as in everyday casual conversation) and space (as in newspaper headlines).

Modal auxiliary An **auxiliary verb** that expresses **modality**: *may*, *will*, *could*, etc.

Modality Meanings, such as necessity, possibility, obligation and so on, expressed by the **modal auxiliaries** and, according to some linguists, also by some **adverbs** (e.g. *maybe*, *certainly*).

Mode One of the three dimensions of **register**, defined in terms of the medium or 'channel' in which the text is transmitted (e.g. spoken or written, face-to-face conversation, phone conversation and so on).

Modifier (M) A function served by dependents in **phrases** (e.g. *taller **than him,** a letter **from London***). **Pre-head modifiers** occur before the head, and **post-head modifiers** occur after the head.

Mood The system of clause types: **declarative**, **interrogative**, **imperative**, **exclamative**.

Nominalisation The process by which a noun or noun phrase is formed from a word belonging to a different part of speech, usually a verb or an adjective. Extensive use of nominalisation is characteristic of writing in contrast to speech and it is especially common in formal writing.

Nominative case Pronouns functioning as subject are inflected for this **case** (*we*, *she*, *they*, etc.).

Non-basic clause A clause that is not **basic**.

Non-finite clause A subordinate clause with a non-finite verb as the first or only verb: an infinitive (e.g. *I'd prefer **to wait here***), a present participle (e.g. ***Being the only survivor**, she quickly became a celebrity*), or a past participle (e.g. *They keep themselves **hidden from the public gaze***).

Non-restrictive relative clause A relative clause whose content is presented as secondary to that of the larger construction, from which it is separated by intonation in speech or commas in writing (e.g. *Have you met Mr Brown, **who lives in the house on the corner?***).

Noun (N) Nouns head **noun phrases,** are usually marked for **number** and typically refer to 'things'. The class consists of **common nouns, proper nouns** and **pronouns**.

Noun clause (NCl) A type of subordinate clause, which may be declarative, interrogative or exclamative, and has a range of functions similar to that of noun phrases (e.g. *She told me **that the relationship was over**; She asked me **whether the relationship was over***).

Noun phrase (NP) A phrase headed by a **noun,** and whose dependents may be determiners, modifiers, complements and peripheral dependents (e.g. *this situation*; *visitors from Europe*).

Number The distinction between **singular** and **plural**, associated mainly with nouns (e.g. *box/boxes*, *tooth/teeth*).

Object (O) The function of a clause element that may, in many cases, become the subject through **passivisation** (e.g. *Tom opened the letter* → *The letter was opened by Tom*), which is typically a noun phrase, and which is characteristically associated with the 'patient' or 'goal' of an activity.

Objective See **predicative complement**.

Open class The classes of nouns, verbs, adverbs and adjectives are 'open' in so far as they readily admit new members.

Open interrogative An **interrogative** clause introduced by a *wh-* expression such as *what, who* or *when* and used, in the typical instance, to ask a question having an open set of answers (e.g. *What is your address?*; *When is the exam?*).

Operator The function served by auxiliaries (plus main verb *be*, and 'possessive' *have*) in four 'operations': negative contraction (e.g. *They haven't arrived*); inversion (e.g. *Have they arrived?*); emphatic polarity (e.g. *No they HAVEN'T*); and post-operator ellipsis (e.g. *Sue has arrived, but they haven't*).

Participle A non-tensed form of the verb. The two subtypes are present participles (e.g. *bringing, responding, being*) and past participles (e.g. *brought, responded, been*).

Part of speech A word class, such as verb or preposition.

Passive voice Contrasts with **active voice**. A type of clause whose subject represents a 'patient' or 'goal' rather than the 'actor' (e.g. *The kitten was scolded by Mary*). Also applied to the verb phrases in such clauses.

Passivisation The process by which an **active** sentence is converted into its corresponding **passive** counterpart (e.g. *Mary scolded the kitten* → *The kitten was scolded by Mary*).

Perfect aspect The **aspect** expressed by auxiliary *have* in combination with the past participle. A situation is, characteristically, presented as resulting from the completion of an earlier event or state of affairs (e.g. *Many visitors **have seen** the Egyptian exhibition*; *She **had marked** all the essays by Monday*).

Peripheral dependent (PD) An element with a parenthetical character, either a type of **adjunct** in a clause (e.g. *He failed to show up, **which surprised no***

one) or a type of **modifier** in a noun phrase (e.g. *Tom Jones, **the singer**, is Welsh*).

Person There are three person distinctions associated with **personal pronouns**. First person and second person pronouns are generally used for the speaker and addressee respectively – alone or with others (e.g. *I*, *us*, *mine*, etc.; *you*, *your*, etc.), while third person pronouns are used for others (e.g. *her*, *they*, etc.).

Personal pronoun A subclass of pronouns (*he*, *us*, *their*, etc.) to which the category of **person** applies.

Phatic communion A term coined in the 1920s by anthropologist Bronislaw Malinowski and subsequently used by many linguists (see **functions of language**). It refers to the use of language primarily for the establishment and maintenance of social contact rather than for the exchange of information or achievement of other goals.

Phrasal-prepositional verb A class of verbs that amalgamate the properties of phrasal and prepositional verbs.

Phrasal verb A class of verbs that have a use where they require as their complement a particular type of **adverb** – mostly short, monosyllabic words such as *in*, *up*, *out* and *down.*

Phrase A grammatical unit intermediate between word and clause, which may be either a head-dependent construction (e.g. *fluffy toys*; *might decide*), or a relator-axis construction (e.g. *to the ocean*; *the club's*).

Plain English Movement In the late twentieth century, a number of campaigns in the UK, the USA, Australia and Canada pressed for the use of simple, direct, clear and unpretentious language in all public domains, especially in legal and official documents and in medical, technical and business usage. Many of these countries now have an official Plain English Policy.

Plural Used when a **noun** refers to more than one entity (e.g. *trees*, *children*).

Possessive pronouns Personal pronouns in the **genitive case** (*her*, *its*, etc.).

Predicate (Pred) The section of a clause apart from the subject that communicates something about the subject.

Predicative complement (PC) The function of an element in a **copulative clause** or a **complex-transitive clause**, typically in the form of an adjective phrase or noun phrase, and expressing a property or role. Predicative complements may be **subjective**, predicating a property or role of the subject (e.g. *He is **thoughtless***), or **objective**, predicating a property or role of the object (e.g. *We consider him **thoughtless***).

Predicator (P) The function of a **verb phrase**.

Preposition (Prep) Part of speech that functions as **relator** in a **prepositional phrase** (e.g. *under*, *at*, *with*).

Prepositional phrase (PP) A type of **relator-axis** phrase in which a **preposition** serves as the relator (e.g. *over the moon*, *before noon*).

Prescriptive The view that the role of grammar is to present a set of rules for speaking and writing 'correctly'.

Pro-form A word or phrase that can take the place of another word or word group. The most common pro-forms are pronouns, but other words, such

as *here, do, so, not* can also function in such a way in order to avoid repetition and help to make a text more cohesive.

Progressive aspect The **aspect** expressed by auxiliary *be* in combination with the present participle. An activity is, characteristically, presented as incomplete or in progress (e.g. *The wind **is howling**; They had **been picking** cherries*).

Pronoun (Pn) A type of noun used for **anaphora** or **deixis** (e.g. *he, it, we, this, which*). Not compatible with an article (e.g. **a she*).

Proper noun A type of **noun** that is characteristically used as a proper name (e.g. *Christopher, France*).

Prototypical The members of a category that share a common core of mutual properties.

Pseudo-cleft A construction with a free relative clause and an identified predicative complement (e.g. *What he said was that he would resign*).

Reciprocal pronouns *Each other* and *one another*.

Reflexive pronouns **Personal pronoun** compounds with *-self* (*myself, yourself* etc.) and *-selves* (*ourselves, themselves* etc.).

Register A variety of language defined according to the characteristics of the situation in which it is used (e.g. religious register, the register of advertising). Registers are analysable into the three dimensions of **field**, **tenor** and **mode**. An earlier term, still preferred by some linguists, is 'style'.

Relative clause (RCl) A subordinate clause usually introduced by a **relative pronoun** (e.g. *the person **who introduced us**; a movie **that you must see***), and typically serving as modifier in a **noun phrase**.

Relative pronouns **Pronouns** used in **relative clauses** (*which, that*, etc.).

Relator-axis construction A phrase or clause whose relator serves to relate the other constituent – the 'axis' – to the larger construction (e.g. ***under** the mat*; ***when** the taxi arrives*). Contrasts with head-dependent construction.

Repertoire In sociolinguistics particularly, the range of varieties of language available to individual speakers or writers, enabling them to perform particular social roles (e.g. Jane Smith is a mother, singer, doctor and hospital administrator and adjusts the specifics of her language according to the needs and demands of each of these 'roles').

Restrictive relative clause A **relative clause** that typically 'restricts' the meaning of the head noun. Compare *Cars are a nuisance* and *Cars which use lots of petrol are a nuisance* (*cars which use lots of petrol* refers to a smaller set than simply *cars*).

Semantics The study of linguistic meanings.

Sentence (Se) The largest unit in grammar. May be **simple**, **complex** or **compound**.

Simple sentence A sentence that has the form of a single clause (e.g. *He took it*). Not **complex** or **compound**.

Singular (noun) Singular is used to refer to a single entity, by contrast with plural number (e.g. *flower* vs. *flowers*).

Slang Non-standard colloquial language associated with various often highly localised subgroups within a society and especially with nonconformist sub-cultures (such as teenagers). Slang is characterised by its transience and is considered by some to be offensive. Originating in the specialised vocabulary of the underworld (e.g. thieves' cant, criminal argot, flash talk), slang contributes to the sense of solidarity within a group and consequently, like jargon, may be used deliberately to confuse and exclude outsiders.

Specificness A category of the NP relating to its capacity to refer to a specific entity or entities.

Standard The variety of a language most widely accepted and understood in its community. The standard is the medium of instruction, especially to second language learners, of written documents and the mass media.

Subject (S) A clause element that typically precedes the verb (e.g. ***Her father has borrowed it***), inverts with the operator in interrogatives (e.g. *Has **her father** borrowed it?*), is associated with nominative case (e.g. ***He** has borrowed it*), and 'agrees' with the verb (e.g. *He has/They have borrowed it*). A subject is typically in the form of a noun phrase and refers to an 'actor' and/or 'topic'.

Subjective See **predicative complement**.

Subjunctive mood A mood used in earlier forms of English, as well as in many other Indo-European languages, to describe actions with uncertain outcomes, as in wishes and hypothetical statements. For example, the use of *be* in *I move that the minutes of the last meeting be accepted.*

Subordinate clause (SCl) A clause embedded within the structure of another clause. May be **finite** (noun, relative, adverbial or comparative), **non-finite** (infinitival, present participial or past participial) or **verbless**.

Subordinator (Subord) A word functioning as **relator** in a subordinate clause (e.g. *if, that, since*).

Substitution Use of pro-form words such as *one, do, so* in order to create cohesion and avoid repetition in a text. However, in substitution, the entities referred to are not identical, but rather 'like' items, different tokens of the same type.

Superlative One of the 'degrees' of comparison for adjectives and adverbs (vs. **absolute** and **comparative**). Indicated by the suffix *-est* (e.g. *fairest, slowest*) or by the adverb *most* (e.g. *most reckless, most prudently*).

Synecdoche A sense relation where a part of something comes to represent the whole (e.g. *lend me a **hand**, a **roof** over one's **head***). Also called 'meronymy'.

Synonymy A semantic relationship of words with the same or similar meanings, for example *large, huge, enormous* **and** *immense***.**

Syntactic class A classification of a grammatical unit that is determined by the properties that it shares with other units.

Syntactic function A classification of a grammatical unit that is determined by its grammatical role within the construction that contains it.

Tenor One of the three dimensions of **register**, defined as the relationship between the participants, the social roles they are playing and the degree of formality they adopt. The term 'manner' (of discourse) is also used.

Tense The verb contrast between present and past (e.g. *blow/blows* vs. *blew*).

Text In linguistics, a stretch of language that is perceived as a purposeful connected whole. A text may be spoken or written, short or long, produced by one person or many, and is created by text-internal **cohesion** and text-external **coherence.** Some linguists use the term text interchangeably with **discourse**.

Topic The topic of a clause is what it is about, typically expressed as the first element in the clause.

Topicalisation The process that puts an element in front position in the clause in order to make it the **topic**.

Transitive A clause having an **object**. Also, the verb used in such a clause (e.g. *Mary dropped the vase*).

Verb A part of speech with as many as six different inflectional forms, typically referring to an action or activity.

Verbless clause A clause without a verb phrase, and often lacking other elements as well (e.g. *You should knock three times **before entering***).

Verb phrase A phrase headed by a main verb, and with auxiliaries as dependents (e.g. *failed, could fail, has failed*).

Voice The category of **active** and **passive** clauses (and verb phrases).

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